EMCBC AND SMALL SITES

WORKFORCE AND SUCCESSION PLAN

2014 - 2019

August 31, 2014

MESSAGE FROM THE DIRECTOR

The Environmental Management (EM) Consolidated Business Center (CBC) was established on June 7, 2004, to provide business and technical support services for the EM Program. The functions of the EMCBC are to support the mission of the Office of Environmental Management by ensuring customer sites are provided with required and improved business support needed to execute their mission. The mission of the EMCBC is to provide exemplary business and technical resources to the EM cleanup program and to provide creative solutions to EM business issues. These resources include financial and project management, human capital management, information management, contracting, cost estimating, legal services, logistics, and technical services.

This 5-Year Workforce and Succession Plan is an important tool in planning and decision making with respect to Human Capital resource utilization, particularly in establishing and maintaining a capable, technically competent, and diverse workforce necessary both now and in the future to support the accomplishment of the EMCBC mission.

My goal is to ensure that the delivery of products and services to our customers is accomplished in a timely and effective manner in accordance with EM's strategic goals and objectives. Our commitment is to deliver the best value products and services to our customers through sound management, innovation, and teamwork.

Ralph Holland, Acting Director

8/18/14

Date

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THE WORKFORCE PLAN 2014 – 2019

1. INTRODUCTION

The mission of EM is to complete the safe cleanup of the environmental legacy brought about from 5 decades of nuclear weapons development and government-sponsored nuclear energy research.

The EM program has made significant progress in shifting from risk management to mission completion based on reducing risk and environmental liability. As an established operating cleanup, completion and risk reduction program, EM is demonstrating the importance of remaining steadfast to operating principles while staying focused on the mission.

The mission of the EMCBC is to provide exemplary business and technical resources to the EM cleanup program. These resources include financial, cost estimating, project management, human resources management, information resources management, contracting, legal services, and technical support and asset management services.

The Fiscal Year (FY) 2014 – 2019 Department of Energy (DOE) EMCBC 5-Year Workforce Management Plan, henceforth referred to as the "Plan," is the tool the EMCBC and Small Site leadership will use in managing its human capital resources. The purpose of the Plan is to ensure that the EMCBC and Small Sites have "the right people in the right jobs at the right time". EMCBC and Small Sites must conduct workforce planning to identify the skills and resources needed to ensure the successful completion of the work activities defined in its mission.

The Plan is intended to establish a workforce baseline for the EMCBC and Small Sites, and a framework for recruiting and maintaining critical technical and non-technical skills, balancing workforce diversity, and developing a skills pipeline. The Plan identifies staffing and workforce capabilities needed for continued operation of the EMCBC and Small Sites during the period FY2014 through FY2019. It focuses on the EMCBC mission and potential changes thereto; expected changes in resource requirements, including levels and types of competencies as well as on enhancement of organizational performance. Identifying strategies to address expected skills gaps in the key professional and administrative occupations is particularly important.

The Plan establishes challenging objectives for EMCBC and Small Site leadership to manage the workforce creatively and efficiently preserving competence, maintaining diversity, and accomplishing the objectives identified in the EM Five Year Plan. This Plan supports and implements workforce-related strategies and/or objectives found in the following:

- President's Management Agenda
- DOE Human Capital Strategic Plan 2011 - 2015
- DOE Diversity Inclusion Strategic Plan 2012 – 2015
- DOE 2014 Strategic Plan
- EM Human Capital Management Plan

- EM Human Capital Assessment and Accountability Framework
- FY14 Annual Performance Agreement – Office of Environmental Management
- Memorandum from Melody Bell, Acting Deputy Assistant Secretary for Human Capital and Corporate Services, 2014, Development of Environmental Management Fiscal Year 2014 Workforce Analysis and Plans and 2014 – 2019 Succession Plans
- EMCBC Strategic Plan 2011-2016

2. PRODUCTS AND SERVICES

EMCBC products and services continue to include business and technical resources including financial, cost estimating, project management, human resources management, information resources management, contracting, legal services, and technical support and asset management services.

The West Valley Demonstration Project is a unique operation within the Department of Energy and the largest of the Small Sites under line management authority of the EMCBC. It came into being through the West Valley Demonstration Project Act of 1980. The Act requires that the Department is responsible for solidifying the high-level waste, disposing of waste created by the solidification, and decommissioning the facilities used in the process. The land and facilities are not owned by the Department. Rather, the project premises are the property of the New York State Energy Research and Development Authority (NYSERDA) and represents only 200 acres of the larger Western New York Service Center, which is approximately 3,300 acres, also owned by NYSERDA. After DOE's responsibilities under the Act are complete, the Act requires that the premises be returned to New York State.

In addition to the West Valley Demonstration Project (WVDP) in western New York, other sites included under the EMCBC umbrella are the Separations Process Research Unit (SPRU) in Niskayuna, NY; the Moab Uranium Mill Tailings Remedial Action (UMTRA) Project, Moab, Utah; Stanford Linear Accelerator Center (SLAC) National Accelerator Laboratory, Menlo Park, CA; Lawrence Berkeley National Laboratory, Old Town Demolition Project, Berkeley, CA; and The Energy Technology Engineering Center (ETEC), Canoga Park, CA.

EMCBC also provides business and technical services in accordance with established Service Level Agreements (SLA) to: (1) DOE Office of Legacy Management (LM); (2) DOE Office of Science (SC) Berkeley Site Office; (3) EM Office of Standards and Quality Assurance (OSQA); (4) EM Carlsbad Field Office (CBFO); (5) EM Portsmouth/Paducah Project Office (PPPO); (6) National Nuclear Security Administration (NNSA) Los Alamos Site Office (LASO); EM Savannah River Operations Office (SR); and other EM Headquarters and Field Office sites on an intermittent basis.

Small Sites Closure Status

The Department of Energy established the Office of Environmental Management for the purpose of completing the safe cleanup of the environmental legacy brought about from five decades of nuclear weapons development and government-sponsored nuclear energy research. Ultimately, the small sites now under the EMCBC umbrella will be decontaminated, cleaned, and dispositioned. The status of these projects is listed as follows:

- ***The Energy Technology Engineering Center*** (ETEC) – A broad range of energy-related research, testing and development projects have been conducted at Area IV (ETEC). From the 1950s until the late 1980s these activities conducted for the DOE by Atomics International (AI) included nuclear energy development. Phasing out nuclear operations began during the mid-1960s. By 1980 all nuclear reactor operations in Area IV had ceased. The approved project completion date is 2020.

- ***SLAC National Accelerator Laboratory*** - SLAC is located in an unincorporated area of southeast San Mateo County, California. The focus at SLAC is to conduct experimental research in elementary particle physics, develop new accelerator and particle detection techniques, and use synchrotron radiation in many scientific fields. Chemicals have been used and waste has accumulated over the last 40 years, as a result of SLAC's research studies. The objectives of EM's remediation project at the SLAC site are to conduct and report necessary response actions to a California Regional Water Quality Control Board, implement necessary long-term groundwater remediation remedies, excavate and dispose of contaminated soils, and transfer responsibility for long-term operation, maintenance, and remedial actions to DOE's Office of Science.

  The EM transition to the Office of Science (SC) occurred on October 1, 2013. However, some EM activities will continue into FY15. These activities include development of the West SLAC Operable Unit Remedial Investigation Report (RIR), and the West SLAC Baseline Risk Assessment, due 194 days after the West SLAC RIR is approved. Additionally, EM is responsible for the SLC Tunnels D&D at a future date yet to be determined.

- ***Moab*** – The scope of the Moab UMTRA Project is to relocate mill tailings and other contaminated materials from a former uranium-ore processing facility (millsite) and from off-site properties known as vicinity properties in Moab, Utah, to an engineered disposal cell constructed near Crescent Junction, Utah. The scope also includes active remediation of ground water at the millsite.

  The Crescent Junction site is located northeast of the eastern junction of Interstate Highway 70 and U.S. Highway 191, approximately 30 miles north of the Moab site. This location was selected primarily because of its ideal geological setting.

  Through a series of temporary withdrawals of public domain land and a permanent land transfer by the Department of the Interior, DOE currently owns 500 acres of land and has another 936 acres in a 20-year withdrawal for the disposal cell and surrounding buffer area, the support area, and access road. The

permanent transfer area will be fenced when the cell is completed.

At the Crescent Junction site, the containers carrying tailings are unloaded from the train onto trucks that take them to the disposal cell dumping area. The tailings are dumped through end gates in the containers and placed in the cell in 1-foot lifts to meet compaction specifications. The empty containers are reloaded onto railcars and returned to the Moab site.

Project physical completion is planned for Sept 30, 2025 (FY25). The site will transfer to LM Oct 1, 2025 (FY26).

- ***Separations Process Research Unit*** (SPRU) is an inactive facility located at the Knolls Atomic Power Laboratory (KAPL) in Niskayuna, New York. KAPL was created as a general-purpose laboratory for the former U.S. Atomic Energy Commission (a predecessor agency to DOE). Built in the late 1940s, the buildings supported the SPRU mission to research the chemical process to extract plutonium from irradiated materials. Although equipment was flushed and drained, and bulk waste was removed following the shutdown of the facilities in 1953, residual materials were left in the tanks, buildings H2 and G2, and interconnecting pipe tunnels. In 2010, cleanup of radioactivity and chemical contamination in the SPRU Lower Level Railroad Staging Area, Lower Level Parking Lot and SPRU North Field areas was completed. The KAPL site presently conducts research and provides support for the U.S. Navy's Nuclear Propulsion Program.

  Currently, decontamination and decommissioning (D&D) of the following is taking place: the remaining two contaminated buildings (G2 and H2 buildings), seven inactive waste storage tanks located within H2 tank vaults, a pipe tunnel between G2 and H2, and associated contaminated soil. In 2013 tent enclosures and ventilation systems using High Efficiency Particulate Air filters were constructed around the G2 and the H2 buildings. Performing D&D work within the enclosures with the ventilation systems provides an added measure of protection to human health and the environment. DOE's contractor is taking a methodical, deliberate approach in completing the remaining work. Project completion is estimated for 2016.

- The ***West Valley Demonstration Project*** (WVDP) - The Project end date is FY2040. The transportation of the HLW canisters and all TRU Waste will still be on-site at that point and the liability is carried at HQ for this scope. The current contract (CHBWV) is scheduled to be completed April 2019.

- ***Lawrence Berkeley National Laboratory*** (LBNL) in Livermore, CA. The

Laboratory was established in 1952 at the height of the Cold War to meet urgent national security needs by advancing nuclear weapons science and technology. Renowned physicists E.O. Lawrence and Edward Teller argued for the creation of a second laboratory to augment the efforts of the laboratory at Los Alamos.

Environmental programs begun in the 1960s have led to novel groundwater remediation technologies in use at Superfund sites, models that are contributing to understanding the human impact on global climate change, and the establishment of the National Atmospheric Release Advisory Capability (NARAC) at Livermore. NARAC contributes to emergency response decisions after release of radioactivity or toxic materials, such as the Three Mile Island and Chernobyl events.

Under EMCBC's Memorandum of Understand (MOU) with the Office of Science Berkeley Site, EM is responsible for the transfer, management, cleanup, and ultimate deactivation, decommissioning and demolition of excess contaminated facilities and materials from the National Nuclear Security Administration (NNSA), Office of Science (SC), and the Office of Nuclear Energy (NE) once those facilities are no longer needed to support the DOE mission.

For each step in the complex process of decontamination, cleanup and closeout, the Consolidated Business Center (CBC) provides a variety of support services ranging from business to technical which fluctuate based on each site's stage in the process.

*(A more detailed listing of products and services may be found in **Attachments A - Products and Services**.)*

3. DEMOGRAPHIC PROFILE

This demographic analysis is based on an inventory of employees assigned to the Cincinnati, OH location, as well as the Springdale, OH, locations and the Small Sites it supports as of May 2, 2014. Such information/data was collected through DOE*Info* which serves as a repository of information relating to the DOE Federal workforce. The inventory provided by DOE*Info* includes full-time and part-time, permanent and non-permanent employees. These employees consist of those assigned to the EMCBC in Cincinnati, Ohio, the West Valley Demonstration Project (WVDP), the Brookhaven National Laboratory (BNL), and the Separations Process Research Unit (SPRU) in New York, the Stanford Linear Accelerator Center (SLAC) and Energy Technology Engineering Center (ETEC) in California, as well as Moab, Utah, and Grand Junction, Colorado. Unless otherwise noted, all Federal-wide data used in the analysis was obtained from *Fedscope* statistics published by the United States Office of Personnel

Management (OPM) at http://www.fedscope.opm.gov/.

EMCBC and Small Site Staffing

Staffing levels at the EMCBC and Small Sites continue to be impacted by the Federal budget, fluctuating workloads associated with the EM closure schedule, EM hiring controls, the level of support needed by other EM sites, and an aging workforce. The authorized Full Time Equivalents (FTEs) for the EMCBC for the period from FY 2014 – 2019 (as reflected in the EMCBC FY14/15 Budget Requests) are depicted in the chart below:

Figure 3.1

FY14	EMCBC	WVDP	MOAB	SPRU	ETEC SLAC	BNL	Total
Authorized	168	18	3	4	5	0	198
Onboard as of 5/02/2014	148	14	4	4	5	0	175

Figure 3.2

Projected Authorized FTE for EMCBC and Small Sites

FY14	FY15	FY16	FY17	FY18	FY19
200	200	200	200	200	200

**The FTEs above were provided by CBC/OFM, and include 1 transfer from EM/HQ to OTSAM, 8 new 1102's plus8 new cost estimators.*

The employee inventory level for the same period during the previous year 2013 was 180 compared to 175 in 2014. The following chart illustrates attrition rates for both CBC and the Small Sites. This decline in the overall number of employees is determined to be a direct result of FTE controls imposed by budget realities. It should be noted that in addition to these federal employees several critical tasks are performed by contractors not mentioned in these statistics.

Figure 3.3

Attrition FY13 - FY14	Retirement	Transfer	Resignation	Expiration of Appointme	Death	Total
EMCBC	3.50%	2.90%	0	0	0	6.40%
Small Sites	3.13%	3.13%	3.13%	0	0	9.40%

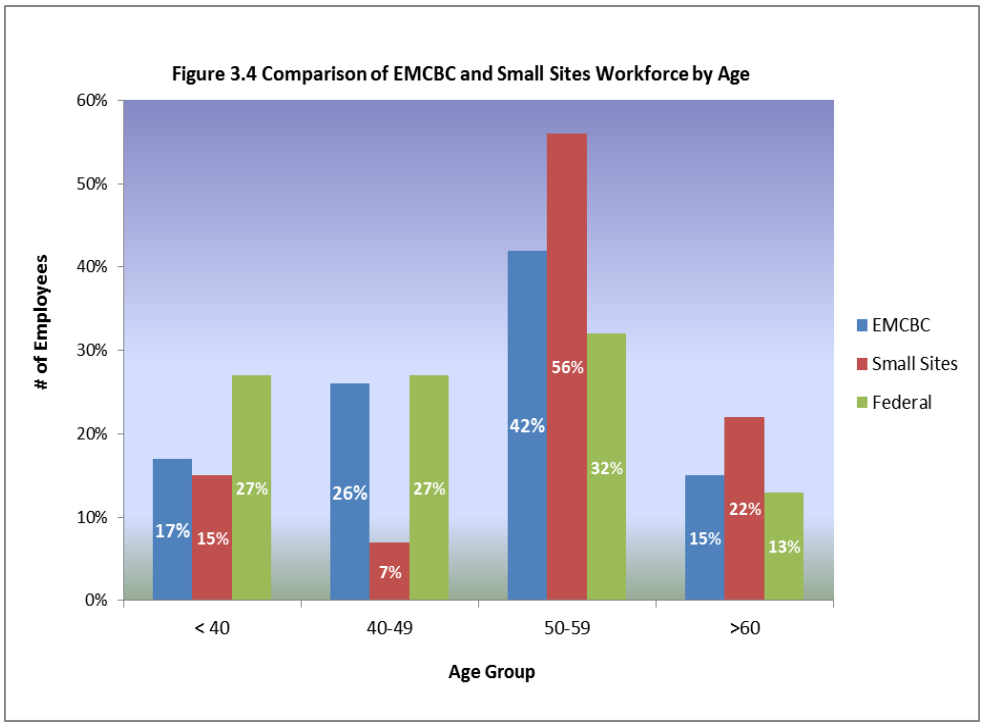
Workforce Profile

As mentioned above, the DOE employee data used in this Plan was obtained from *DOEInfo*, the Corporate DOE employee data repository. As of May 2, 2014, the EMCBC and Small Sites had a total of 175 permanent full-time employees on-board. As general information, the average supervisory-to-employee ratio for CBC alone is 1:8 and

1:6 for Small Sites. Other significant profile data is reflected below in both narrative and graph/chart format. As a comparative tool, some of the data is contrasted with Federal-wide statistics.

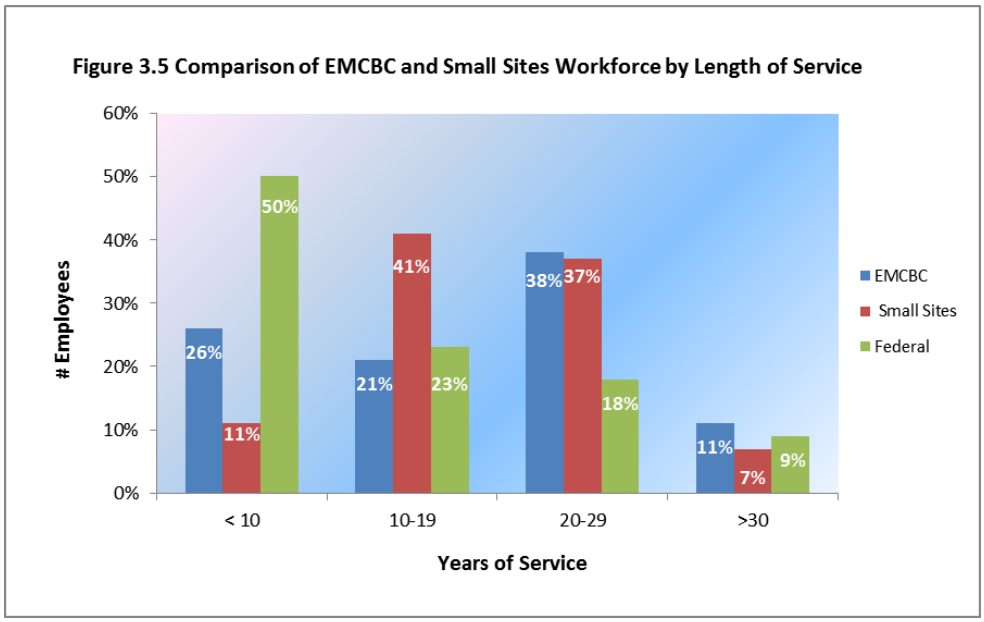
Age

The average age of the combined EMCBC and Small Sites workforce is 51 years old (EMCBC = 50.35, Small Sites = 53.35), as compared to the overall average age for the Federal government, at 46.7 years as cited in Fedscope. The average for EMCBC and the Small Sites continues to shift upward due to reorganization adding older workers and the elimination of programs geared towards hiring younger workers such as the *Environmental Management Professional Development Corp*). As illustrated in Figure 3.4 below, the EMCBC and Small Sites workforce is older than the overall Federal workforce, having higher proportions of workers in their 50's. Fifty-Seven percent (57%) of the EMCBC workforce is age 50 or older, which is greater than the overall Federal workforce, which has 42% age 50 or older.



Length of Service

As depicted in figure 3.5 below, 51% of the Federal workforce has less than 10 years of service as compared to the EMCBC at 26% and Small Sites, at 11%. The greatest proportion of EMCBC and Small Sites employees has 20 to 29 years of service.



Grade Level

Figure 3.6 illustrates the grade structure at the EMCBC and Small Sites. Grades GS-13 (52 employees) and GS-14 (52 employees) together comprise 59.4% of the onboard workforce. The EMCBC and Small Sites have 5 positions in non-GS pay banding grade structure.

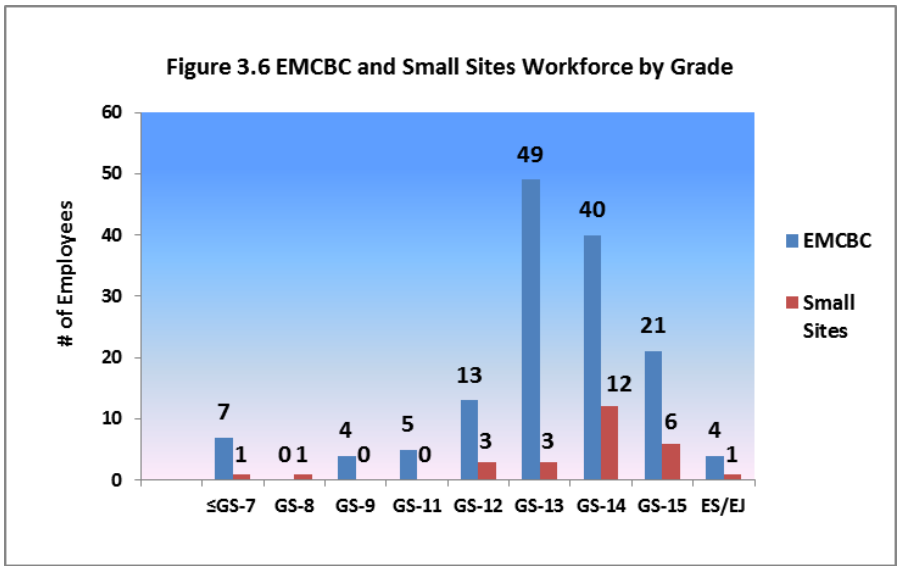
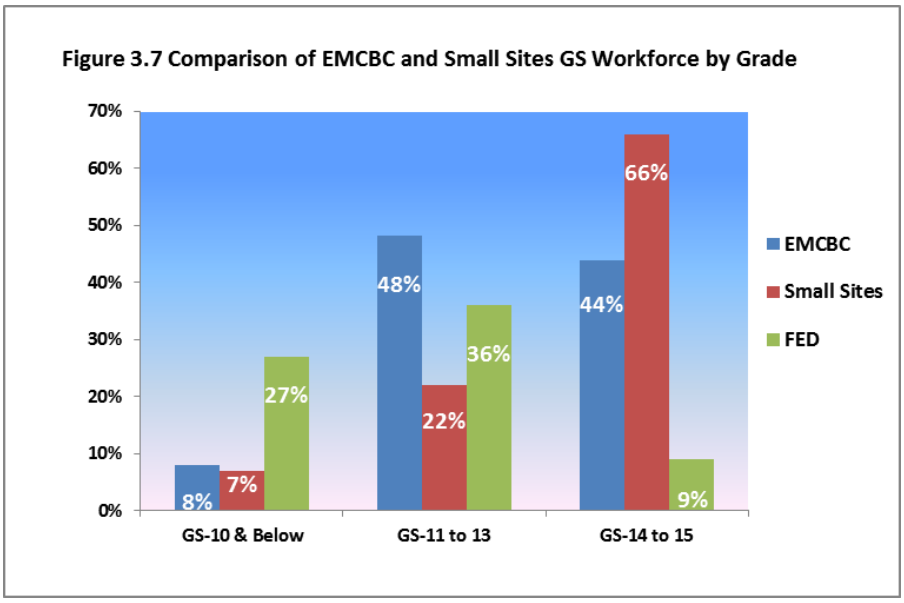
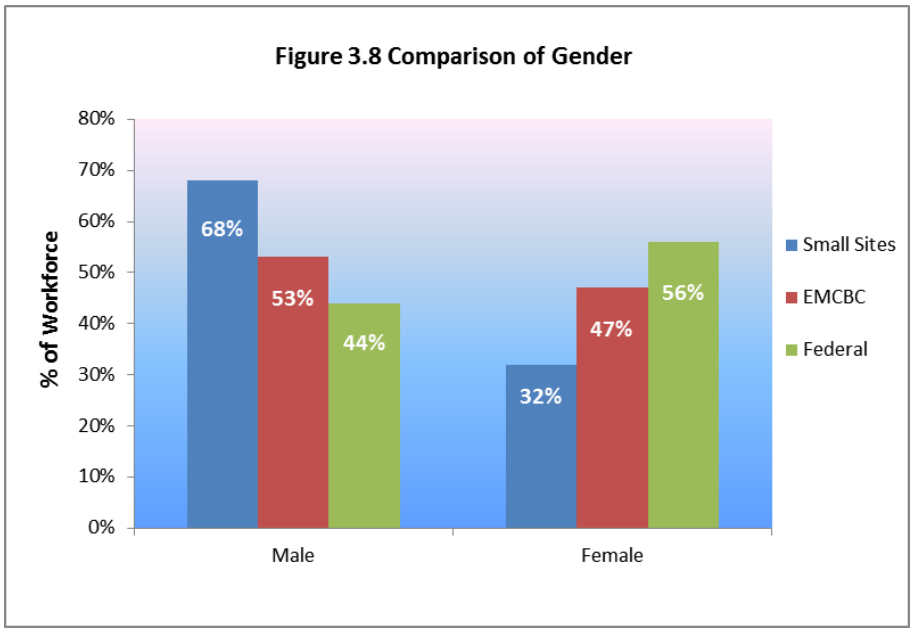


Figure 3.7 below shows that the EMCBC and Small Sites have higher graded employees than the overall Federal workforce. The average grade of an EMCBC employee is GS – 13 with the same holding true for the Small Sites. By comparison, the federal workforce average grade is GS – 12. This difference reflects the highly specialized work EMCBC and Small Sites employees perform for EM clients.



Gender

According to Figure 3.8, the combined EMCBC and Small Sites workforce is predominantly male at 55% and 45% female reflecting the overall Federal workforce at 56% male and 44% female.



Education

The following charts reflect the higher than average educational levels of EMCBC and Small Sites employees as compared to the federal government. A combined total of 80% of EMCBC and Small Sites employees have Bachelor's degrees or advanced degrees. This is compared to 43% of all federal employees. This higher level of education reflects the level of knowledge required to accomplish the organization's mission.

Figure 3.9

EDUCATION

Highest Level Achieved	EMCBC	%	Small Sites	%	Combined	%	All Federal
High School or Equivalent	13	9%	1	4%	14	8%	26%
Associate Degree	9	6%	3	11%	12	7%	6%
Some College	7	5%	0	0	7	4%	14%
Bachelor's Degree	66	44%	12	44%	78	43%	26%
Masters Degree or Equivalent	50	34%	9	33%	59	34%	14%
Doctorate	2	1%	2	1%	4	2%	3%

The following charts depict the breakout between EMCBC and the Small Sites.

Figure 3.10 EMCBC Education - Highest Level Achieved

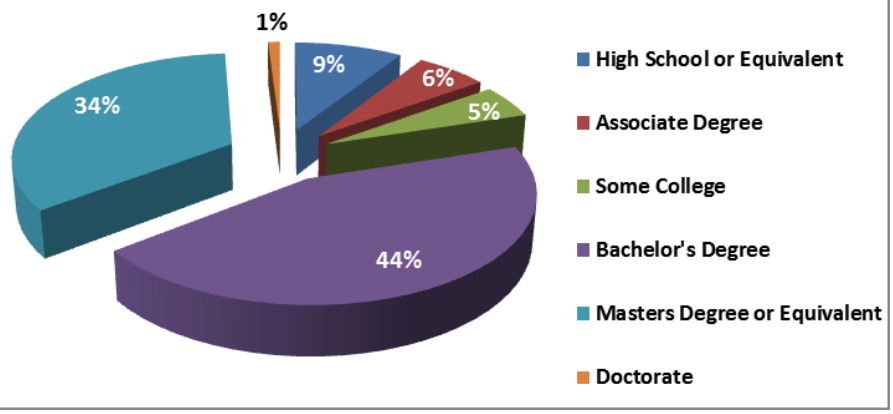


Figure 3.11 Small Sites Education - Highest Level Achieved

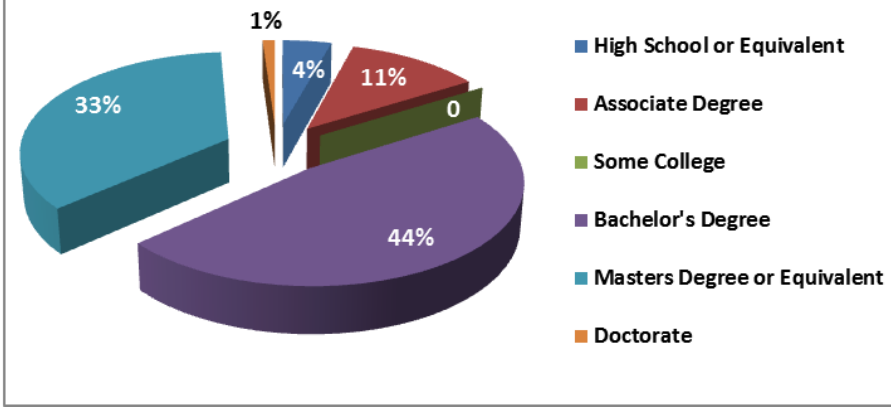
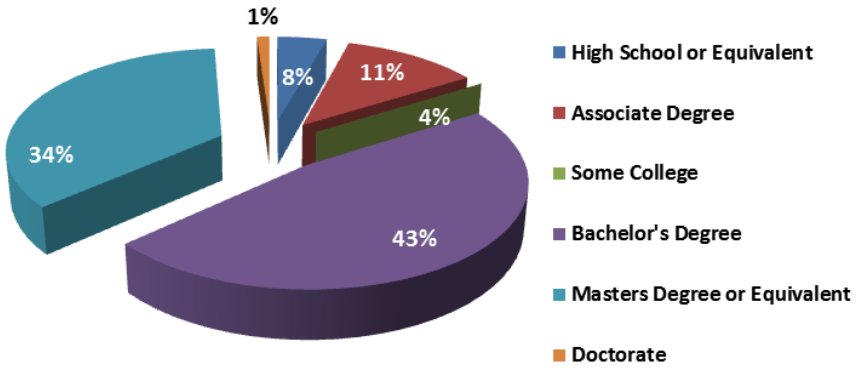


Figure 3.12 Combined EMCBC and Small Sites Education - Highest Level Achieved



Diversity

The EMCBC and Small Sites are committed to diversity and inclusion and have made progress in building a highly-skilled workforce that reflects all segments of the American society. Overall, African Americans are represented at 14.3%, which is above the Civilian Labor Force Data (CLFD) compared at 10%, Hispanics are underrepresented at 1.9% compared to the CLFD at 13.6%, Asian/Pacific Islanders are underrepresented at 2.5% compared to the CLFD at 4.3%, and Native Americans are represented within the margin (i.e. +/- 2%) at 0.9% compared to the CLFD at 0.6%. Women are within the margin (i.e. +/- 2%) at 45% of the onboard workforce compared to the CLFD at 46%, and persons with disabilities are represented at 9.2%, while persons with targeted disabilities are represented at .31% of the onboard workforce. Minorities represent 19.6% and females represent 45% of the total population.

This Plan will be utilized in conjunction with the EMCBC Diversity Strategic Plan and the annual Equal Employment Opportunity (EEO) reporting, which includes but is not limited to the: Federal Equal Opportunity Recruitment Plan; Disabled Veterans Affirmative Action Plan and Accomplishment Report; Persons with Disabilities Affirmative Action Plan and Accomplishment Report; Hispanic Employment Plan; Presidents Report on Hispanic Employment; Management Directive (MD) 715 Annual Report; and Persons with Disabilities Affirmative Action Plan and Accomplishment Report.

The workforce diversity strategies identified in this Plan are not intended to be substitutes for the diversity strategies identified in those documents. This Plan's strategies are intended to reaffirm EMCBC's commitment to achieving and maintaining a diverse and inclusive workforce.

Figure 3.13

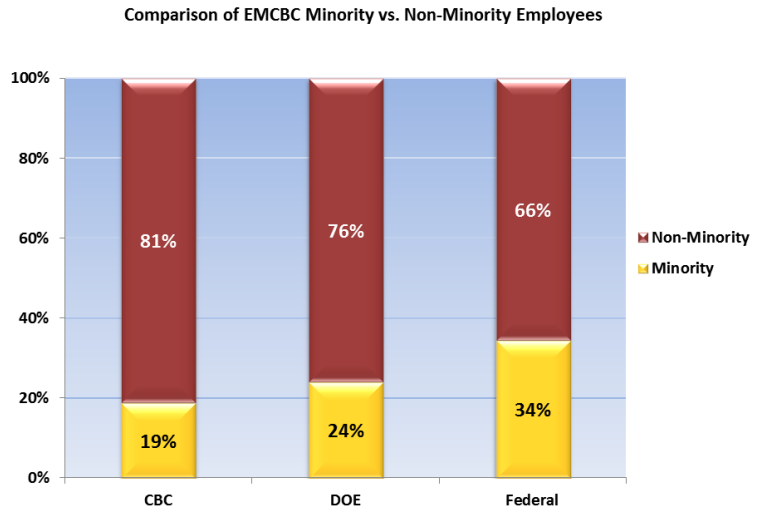
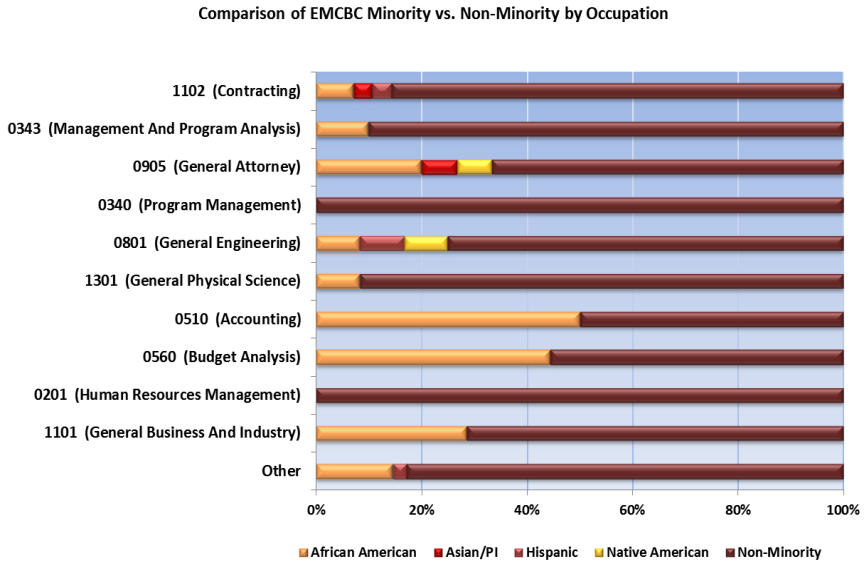
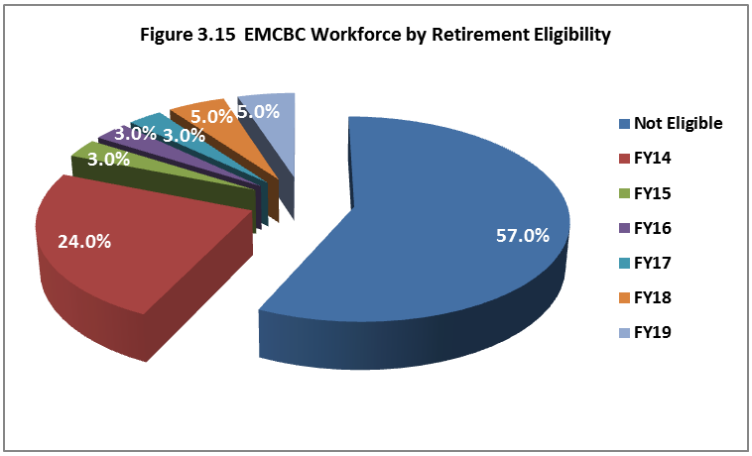


Figure 3.14

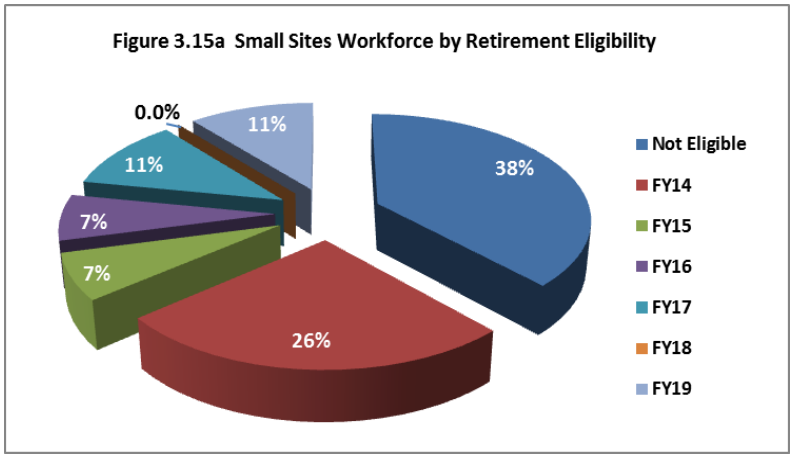


Workforce Retirement Eligibility

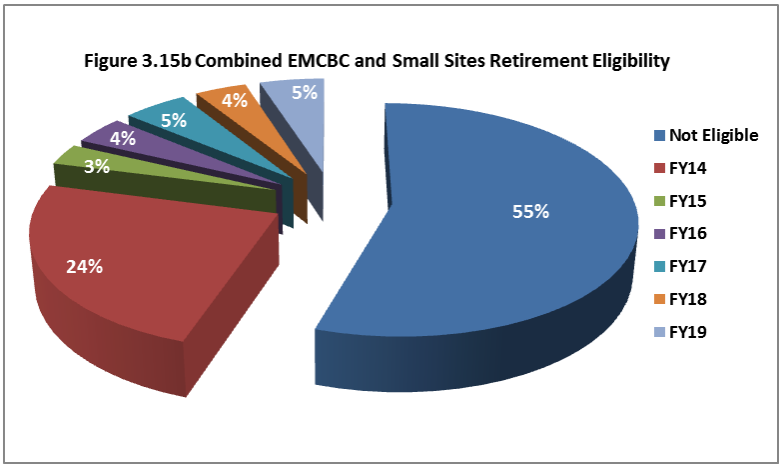
Approximately 24% of the EMCBC workforce is currently eligible to retire as demonstrated in Figure 3.15 below. An additional 19% will become eligible to retire by the end of FY19. A total of 57% will not reach retirement eligibility until after 2019. It is estimated by OPM that 60% of the overall current Federal workforce will be eligible to retire by FY19.



Approximately 26% of the Small Sites workforce is currently eligible to retire as demonstrated in Figure 3.15a below. An additional 36% will become eligible by the end of FY19.



Approximately 24% of, the combined EMCBC and Small Sites workforce is eligible to retire in FY14 as demonstrated in Figure 3.15b below. An additional 35% will become eligible by the end of FY19.



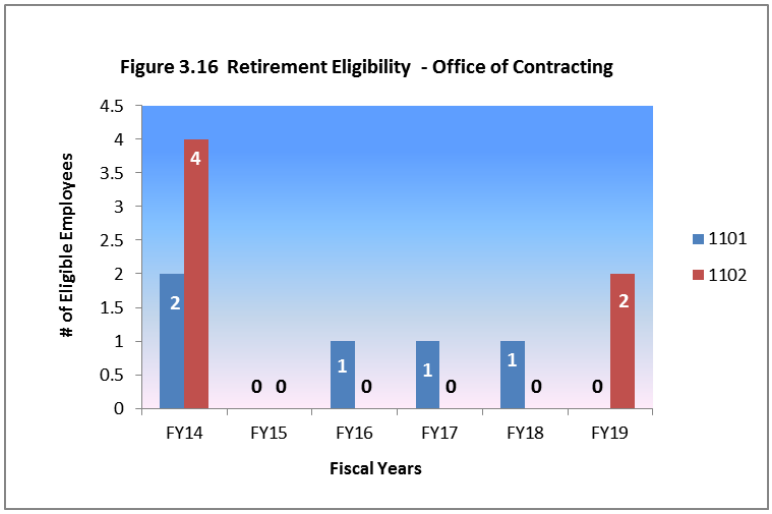
Retirement Eligibility by Department

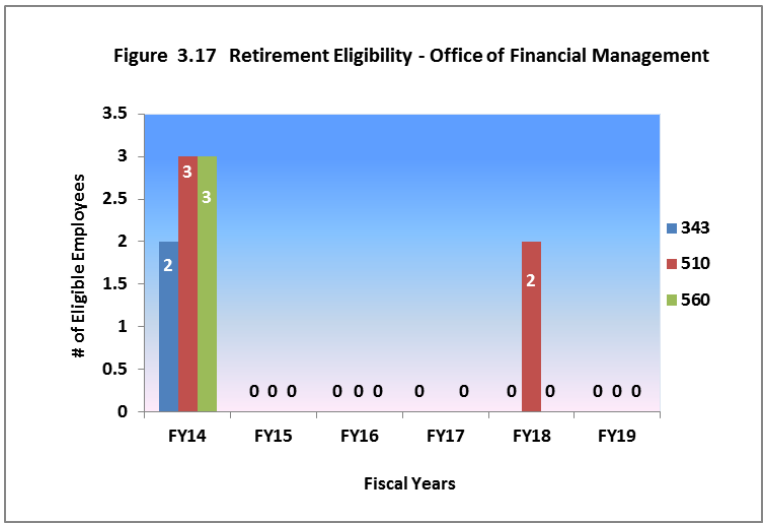
The following charts depict projected FY 2014 - FY2019 retirements by critical job series and organization. The critical job series were determined in accordance with the positions identified by DOE in its Mission Critical Occupations statement (801, 1102, 1301, 2210), a series in which 50% or more of the employees across the agency would be eligible to retire by the end of FY19, and/or those deemed as critical for the success of EM by the Senior Management Team.

The retirement data in this report is based on employee "eligibility" dates, not necessarily "real life" estimates. OPM reports that the majority of federal employees retire 3 – 4 years after they reach eligibility.

(For specific information on the methodology involved in determining retirement

*dates see **Attachment C - Computation of Retirement Eligibility.**)*





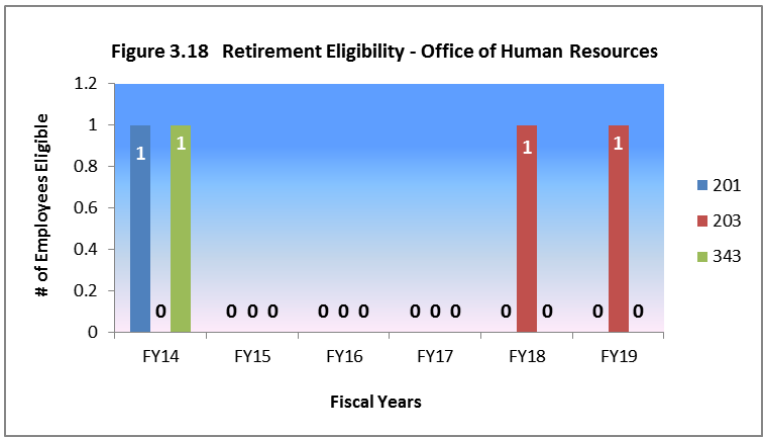


Figure 3.19 Retirement Eligibility - Office of the Chief Counsel

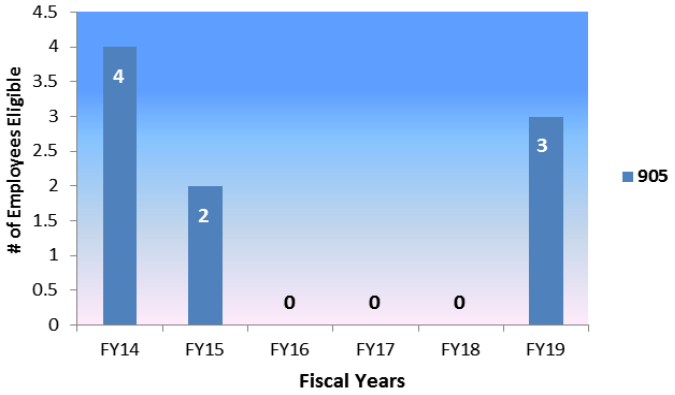


Figure 3.20 Retirement Eligibility - Office of Information Resources Management

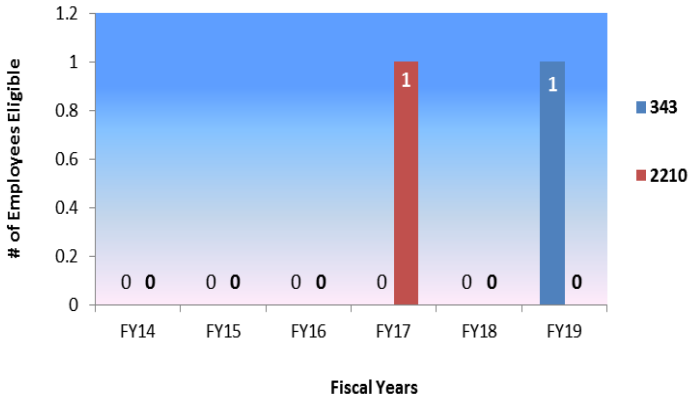
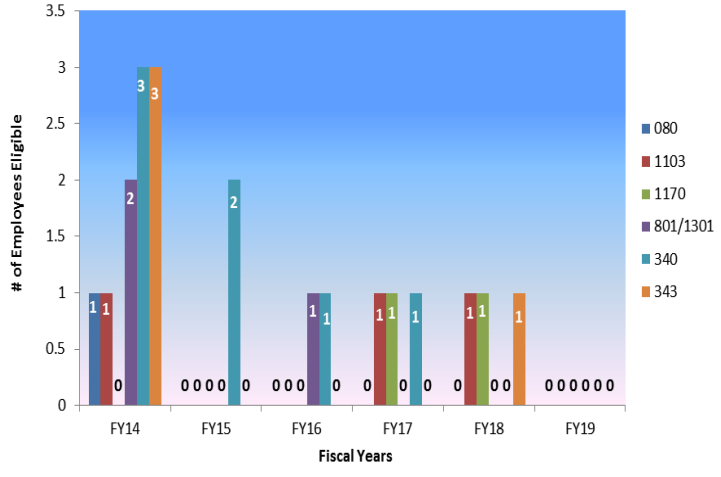
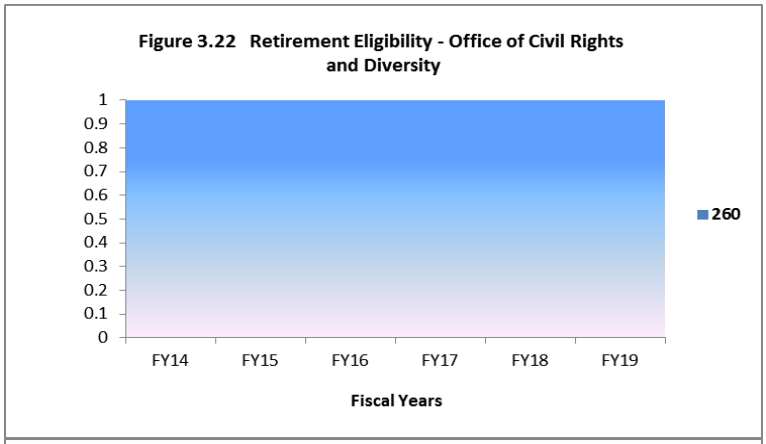
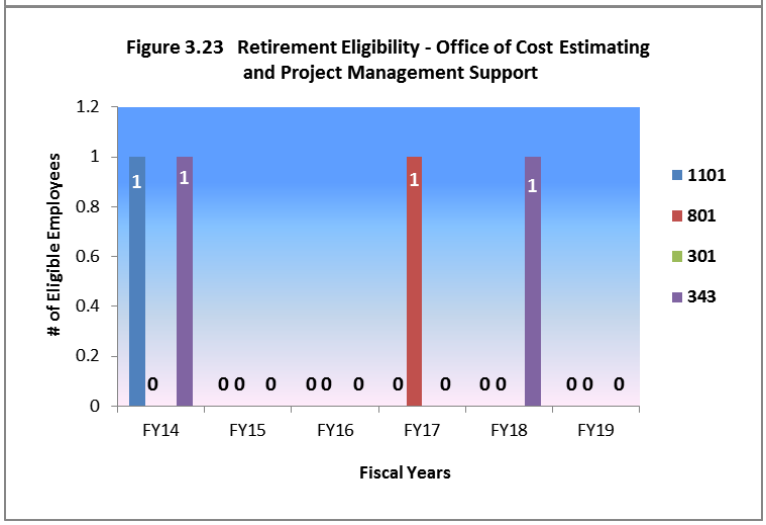
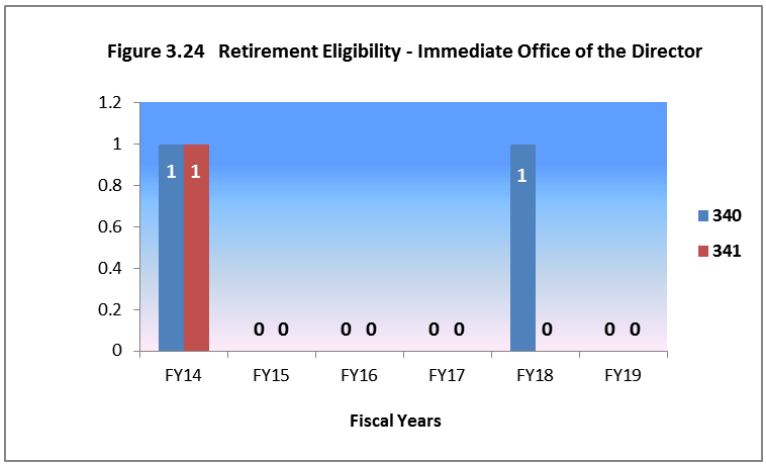


Figure 3.21 Retirement Eligibility - Office of Technical Support and Asset Management









The following Figure 3.25 depicts the number of EMCBC employees in all occupations who will be eligible to retire by the end of FY19. As previously depicted, 73 EMCBC and Small Site employees, representing 41% of the current workforce, will be eligible to retire by the end of FY19. Maintaining critical

competencies in the identified key occupations (*see table on page 25*) supports the need for continuing utilization of entry-level and other strategies to effectively recruit and retain high quality talent in the EMCBC and Small Site workforce.

Figure 3.26 illustrates Small Sites employees in all occupations who will be eligible to retire by the end of FY19.

Figure 3.25 EMCBC Projected Retirements by Position Title and Job Series 2014 - 2019

Position Titles	Job Series	# Empl Ret Elig	Total # in Series	%Losses
Personnel Security Specialist	80	1	2	50%
Human Resource Officer	201	0	0	0%
Human Resources Specialist	201	2	11	18%
Human Resources Assistant	203	2	3	66%
Equal Employment Specialist	260	0	2	0%
Equal Employment Manager	260	0	1	0%
Executive Assistant	301	0	1	0%
Emergency Management Specialist	89	1	1	100%
General Cost Estimator	301	0	4	0%
Management Specialist	301	0	0	0%
Secretary (Office Automation)	318	0	2	0%
Program Manager	340	4	4	100%
Director, EMCBC	340	1	1	100%
Deputy Director, EMCBC	340	1	1	100%
Program Manager (Federal Project Director)	340	2	2	100%
Administrative Officer	341	1	1	100%
Program Analyst	343	10	18	56%
Logistics Management Officer	346	0	1	0%
Financial Technician	503	1	1	100%
Financial Manager	505	0	1	0%
Accountant	510	0	3	0%
Supervisory Accountant	510	1	1	100%
Accountant (Internal Review)	510	3	4	75%
Systems Accountant	510	1	1	100%
Accounting Technician	525	1	1	100%
Budget Analyst	560	2	7	29%
Supervisory Budget Analyst	560	1	1	100%
General Engineer	801	0	2	0%
General Engineer (QA)	801	0	1	0%
General Engineer (Facility Representative)	801	1	1	100%
General Engineer (Cost Engineer)	801	1	2	50%
Government Information Specialist (FOIA)	306	0	1	0%
Attorney-Advisor	905	8	13	62%
Chief Counsel	905	1	1	100%
Paralegal Specialist	950	0	2	0%
Acquisition Analyst	1101	0	1	0%
Acquisition Specialist	1101	2	3	66%
Contractor Industrial Relations Specialist	1101	2	2	100%
Supervisory Cost Estimating Analyst	1101	1	1	100%
Contract Specialist	1102	4	16	25%
Contract Price/Cost Analyst	1102	1	7	14%
Supervisory Procurement Analyst	1102	1	1	100%
Supervisory Contract Specialist	1102	1	3	33%
Industrial Property Management Specialist	1103	3	4	75%
Realty Specialist	1170	1	3	33%
Realty Officer	1170	0	1	0%
Physical Scientist	1301	2	3	66%
Information Technology Specialist	2210	1	2	50%

These positions are considered "Mission Critical" for EMCBC

The following chart depicts the information for the Small Sites; the largest of these in terms of employee base is West Valley. As of May 2, 2014, there were 27 employees working at these sites. By the end of FY19, 17 individuals will be eligible for retirement. The job series with the greatest number of potential losses is Physical Scientist at 5, followed by General Engineer at 2, and Program Manager with 2 employees eligible to retire by the end of FY19. Note that although the Small Sites now report into and are included in the overall EMCBC Full time equivalent (FTE) count, for the purpose of planning here, they are analyzed separately from the EMCBC.

Figure 3.26 Small Sites Total Projected Retirements by Position Title & Job Series FY2014 - FY2019

Position Titles	Job Series	# Empl Ret Elig	Total # in Series	%Losses
Program Support Specialist	0301	0	1	0%
Records Coordinator	0303	1	1	100%
Secretary (Office Automation)	0318	1	1	100%
Program Manager (Federal Project Director)	0340	2	2	100%
Program Manager	0340	1	1	100%
Director, West Valley Demonstration Project	0340	0	1	0%
Administrative Officer	0341	0	0	0%
Program Analyst	0343	2	2	100%
Industrial Hygienist	0690	1	1	100%
General Engineer	0801	2	6	33%
Physical Scientist	1301	5	10	50%
Health Physicist	1306	1	1	100%

4. SUPPLY, DEMAND, AND GAP ANALYSIS

The most vital component of EMCBC and Small Site's human capital management efforts is the ability to ascertain which critical skill sets are needed today and in the future (up to 5 years) to meet mission requirements. The EMCBC and Small Sites conduct skill gap assessments on an ongoing basis to ensure that any skills gaps are addressed in an effective manner.

FTE Gaps

The following chart below depicts an analysis of the projected supply and demand of the EMCBC and Small Sites workforce for the period from FY14 through FY19. As of May 2, 2014, the EMCBC and Small Sites had 175 positions filled.

The current demand of 168 for EMCBC is based on the authorized FTE workforce level to accomplish the current mission. This includes new Contract Specialists and Cost Estimators recently approved, and the transfer of one employee from EMHQ to OTSAM.

The calculation for the Small Sites uses a demand of 32 which includes the addition of two hires under the Recent Graduates Program. In addition to the two vacancies for the Recent Graduate Program, the Small Sites have 5 vacant positions for a total of 7, all located at the West Valley Demonstration Project (WVDP).

The charts below show the FTE "Demand" remaining level from FY14 – FY15 for budgeting purposes. Meanwhile the level of "Supply" decreases based on the cumulative number of projected retirements.

Figure 4.1 EMCBC Gap Analysis FY14 - FY19

	FY14	FY15	FY16	FY17	FY18	FY19
Demand	168	168	168	168	168	168
Projected Supply	138	134	129	125	118	112
Projected Gaps	30	34	39	43	50	56

Figure 4.1a Small Sites Gap Analysis FY14 - FY19

	FY14	FY15	FY16	FY17	FY18	FY19
Demand	32	32	32	32	32	32
Projected Supply	25	23	21	18	18	15
Projected Gaps	7	9	11	14	14	17

Figure 4.1b Combined EMCBC and Small Sites Gap Analysis FY14 - FY19						
	FY14	FY15	FY16	FY17	FY18	FY19
Demand	200	200	200	200	200	200
Projected Supply	163	157	148	138	131	122
Projected Gaps	37	43	52	62	69	78

In the long term, EMCBC and Small Sites' future skills mix will still depend on knowledge transfer and succession planning to leverage the imbalance in mission critical occupations. This gap will decrease as the workforce matures and knowledge transfer is accomplished through succession planning and other developmental programs. Creative initiatives must be used to obtain technical skill sets and to address workforce requirements in the future.

Gaps by Organization

Figure 4.2 shows the projected FTE supply and gap by EMCBC organization for FY14. The total height of each bar indicates the FTE demand for the organization. The organizations with the largest demand is Office of Contracting a 46 FTE, followed by the Technical Support and Asset Management (OTS&AM) with 36, Office of Financial Management (OFM) at 24 FTE, the Office of Cost Estimating and Project Management Support with 23, the Office of Legal Services at 19 FTE, and the Office of Human Resources (OHR) with a demand of 17.

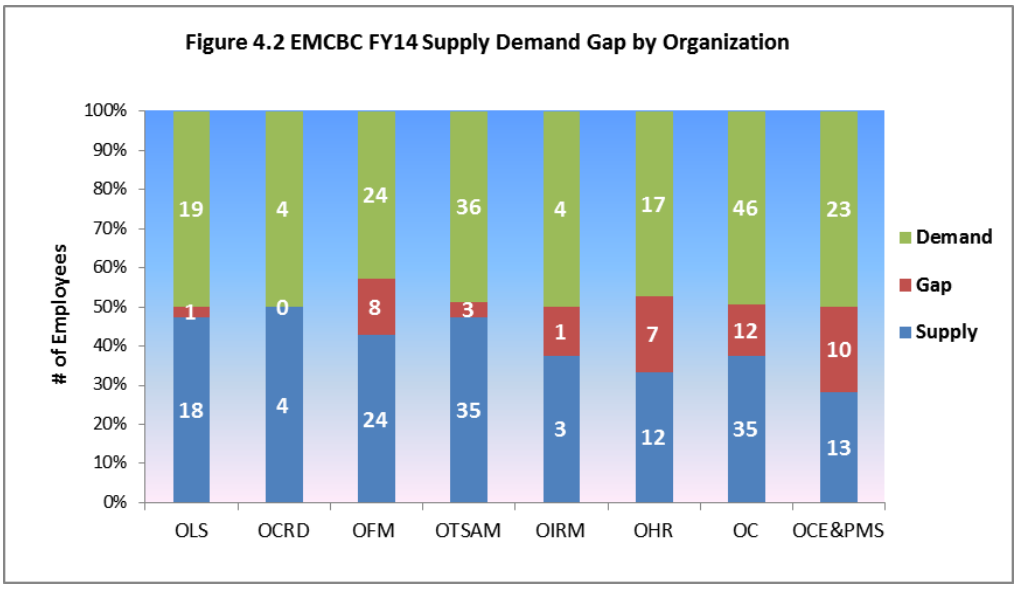


Figure 4.3 shows the total projected FTE supply and gap by organization by FY19. While

the Office of Contracting (OC) and the Office Financial Management are projected to have the greatest number of losses due to retirement, the Offices of and Cost Estimating and Project Management, and Technical Services and Asset Management Support (OTSAM), and Office of Financial Management (OFM) will actually have the greatest percentage of projected gaps by the end of FY19.

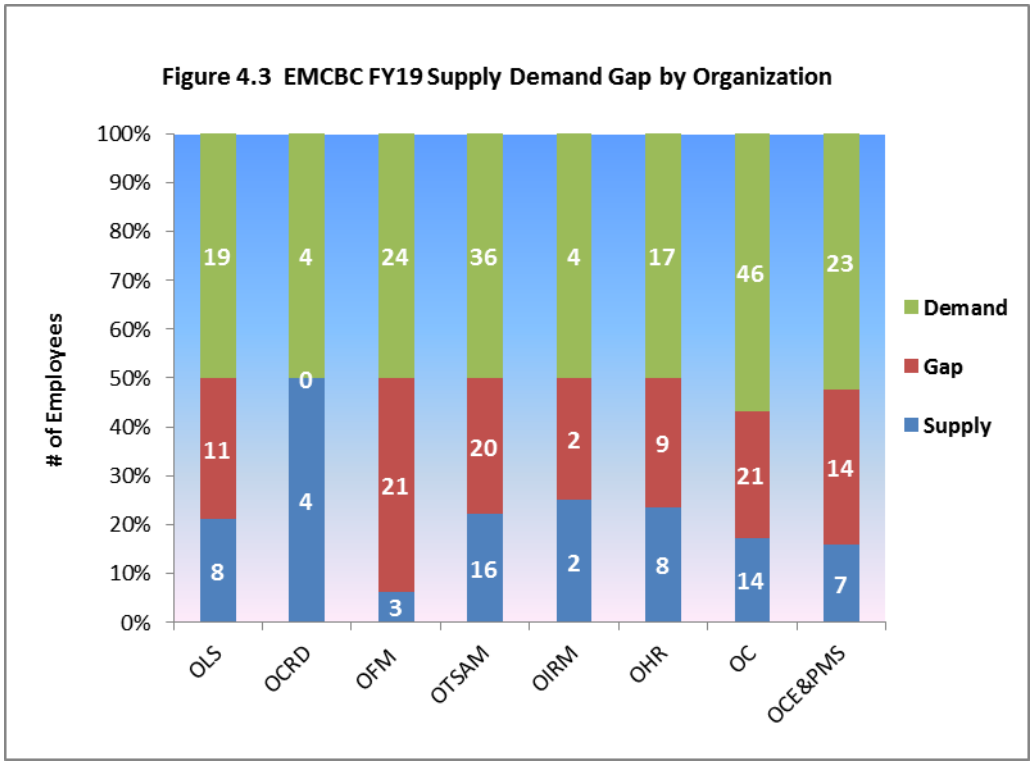


Figure 4.4 shows the projected FTE supply and gap for each Small Sites location for FY14, while Figure 4.5 shows the total projected FTE supply and gap by FY19.

Figure 4.4 FY14 Projected Supply/Demand Gap by Small Site Location

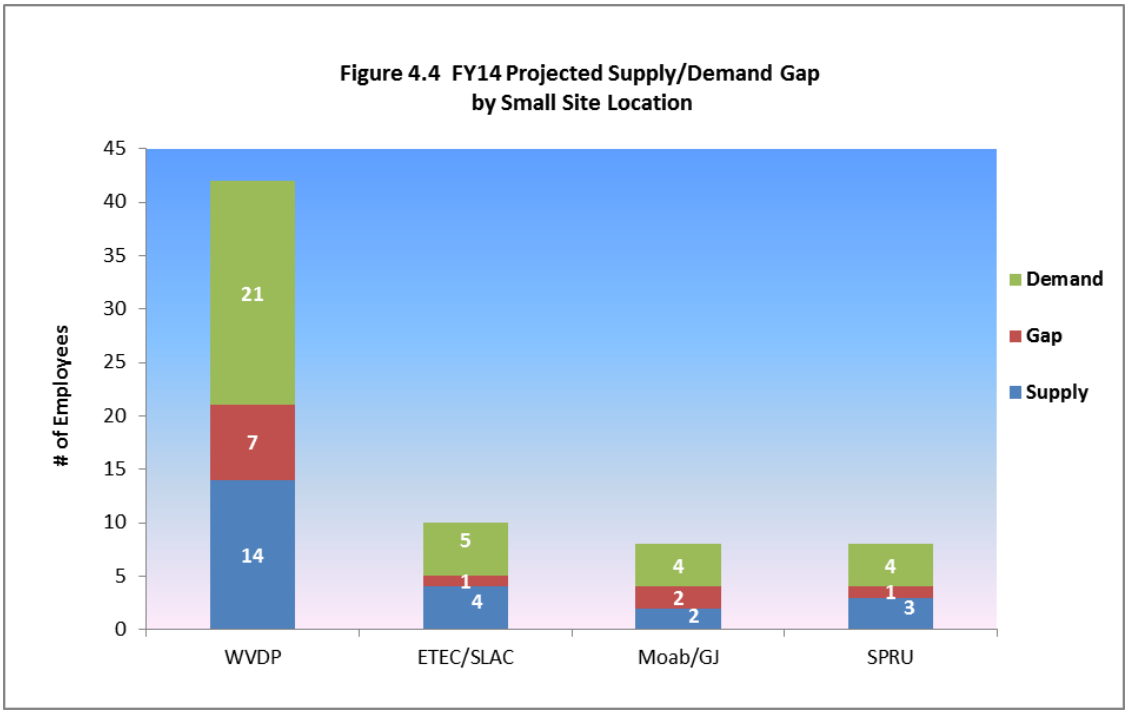
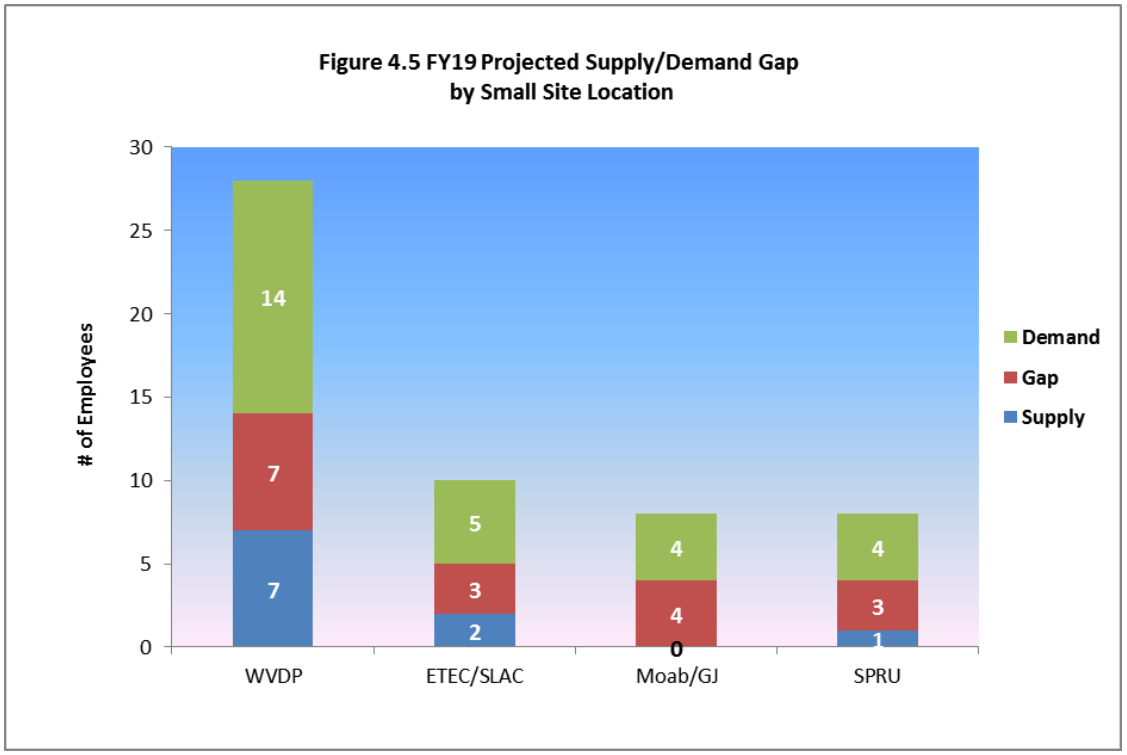


Figure 4.5 FY19 Projected Supply/Demand Gap by Small Site Location



5. FINDINGS

Based upon the projected retirements in *Section 3. Demographic Profile* above, the EMCBC and Small Sites could see as many 73 vacancies due to retirements through FY19. In order for the EMCBC and the Small Sites to retain critical knowledge, several key programs will be implemented. For example, the EMCBC Succession Plan will assist senior leadership in identifying the potential knowledge and/or skill gaps before a position is vacated. Provisions for filling projected gaps through consideration of standard recruitment methods, formal training, and use of other methods will be crucial. Other strategies for closing the projected gaps are identified in *Section 6*.

6. STRATEGIES AND ACTIVITIES

Employee Development

EMCBC and Small Sites leadership understands the need for enhancing the skills of the existing workforce to achieve and maintain a high-performing organization. Historically, employee development has been viewed as involvement in formal training classes or employee participation in one of several career development programs, such as U.S. Department of Agriculture Graduate School's Aspiring Leader Program, New Leader Program, Women's Executive Leadership Program, and Executive Potential Program, or OPM's Executive Leadership Program. These programs provide high-potential GS-05 to GS-15 level employees with training and developmental opportunities to facilitate exposure to and achievement of team leader or supervisory competencies. Specific grade levels are tied to each of the programs. However, effective employee development involves more than these types of programs. Employee development activities may encompass, but are not limited to, the following:

- Leadership Development Programs
- Formal and On-the-Job Training (OJT)
- Educational Courses
- Career-Ladder Positions
- Upward Mobility Program Positions
- Qualification/Certification Programs
- Student Educational Employment Programs
- Mentoring

Formal and On-The-Job Training (OJT)

Formal training involves attendance at classroom training that is offered on-site or off-site, with or without tuition and/or travel costs. Formal training must be conducted by a qualified instructor and typically requires validation that the transfer of learning from the

instructor to the students has occurred. On-the-Job Training involves employees actually performing the work under the tutelage of a supervisor and/or subject-matter expert.

Educational Courses

EMCBC and Small Sites' employees are eligible to attend college courses and receive tuition reimbursement for courses that support the needs of their assigned position and organization. The colleges and universities must be accredited by a nationally acclaimed body that is recognized by the U.S. Department of Education. The selection of employees for an academic degree training program must follow the requirements of Federal and DOE training guidelines.

Career Ladder Positions

A career ladder consists of all positions the grades of which range from the lowest level at which an employee may be hired as a trainee, up to the journeyman grade level, also known as the full performance level. It is the normal grade progression through which an employee may advance noncompetitively to reach the full-performance level (top grade of the career ladder) of a particular job. Career ladder positions may be established for one- or two-grade interval positions, depending on the occupation. Career Ladder positions provide progressively more responsible experience and non-competitive promotion potential for incumbents up to the designated full-performance level, provided that performance is at an acceptable level. EMCBC has placed a renewed emphasis on backfilling vacancies with career-ladder positions to allow for bringing new talent into the organization.

Upward Mobility Program Positions

Upward Mobility Program positions provide and improve career opportunities for those employees who have demonstrated high potential and interest, but lack specific qualifications for assignment to certain career fields, or positions that will extend their career opportunities. Employees selected for Upward Mobility positions are assigned to trainee positions which will enable them, through experience, assignments, and selected job-related training courses, to progress from one position, or occupational series, to another which offers greater career potential. In recent years, EMCBC has placed an emphasis on filling open positions through the Upward Mobility Program.

DOE, EM, and EMCBC Career Intern Programs

The DOE Career Intern, the EMCBC Career Intern Programs (CIP), and the EM Profession Development Corp (EMPDC), were discontinued effective March 1, 2011, by Executive Order 13562 – "Recruiting and Hiring Students and Recent Graduates," signed by President Barack Obama on December 27, 2010. EO 13562 established Pathways, a

comprehensive structure to help the Federal government be more competitive in recruiting and hiring talented individuals who are still in school or who have recently received a degree. EMCBC and the Small Sites plan to hire new employees under the Recent Graduates program in FY14 or early in FY15.

Mentoring

Mentoring is an expectation and part of the culture at the EMCBC. Assistant Directors and senior employees such as supervisors, managers and Team Leaders are expected to share their experience and knowledge to support the education and development of junior employees. This will ensure there are employees prepared to accept more responsibility. A mentor usually holds a higher position and may or may not be in the employee's chain of supervision. Supervisors are expected to provide continual mentoring, coaching and guidance in their leadership role on a daily basis. Mentor and protégé relationships are expected and encouraged at the EMCBC to ensure the development of talented and skilled staff, to retrain and prepare individuals for a new job or function, and/or to assimilate new individuals into the EMCBC by educating them about the norms, culture, and politics of the organization.

In August of 2011 EMCBC launched the formal Department of Energy Mentoring Program with several employees volunteering to be Mentors. In May, 2013, the EMCBC Mentoring Program was expanded to offer one-time *Flash Mentoring* sessions. In 2014 the Mentoring Program will see the addition of *Career Counseling*.

Qualification/Certification Programs

The following sections discuss additional employee development programs utilized to ensure sufficient emphasis on safety, project management and contracting within the covered career fields. Some of the key qualification and certification programs, including safety-based qualification programs, and project management and acquisition-related certification programs are explained below.

Federal Technical Capabilities Program (FTCP)

Safety is a key consideration in all EMCBC and Small Sites' activities. An important safety-related program is the DOE Federal Technical Capabilities Program (FTCP), which sets forth DOE's commitment to develop and maintain a technically competent workforce to accomplish its missions in a safe and efficient manner. The Program stipulates that the Department will strive to recruit and hire technically capable people; continuously develop the technical expertise of its existing workforce; and, within the limitations of executive policy and Federal law, retain critical technical capabilities within the Department at all times. The

FTCP sets forth the requirements for the DOE Technical Qualifications Program (TQP).

Technical Qualifications Program (TQP)

The DOE TQP is a process to objectively determine that individuals performing activities related to the technical support, management, oversight, or operation of defense nuclear facilities possess the necessary competencies to safely perform their assigned duties and responsibilities. This Program was developed in response to Defense Nuclear Facility Safety Board (DNFSB) Recommendation 93-3, "Improving DOE Technical Capability in Defense Nuclear Facilities Program." The TQP Program has been designated as mandatory for positions such as Senior Technical Safety Manager, Facility Representative, Quality Assurance, Radiation Protection and Emergency Management, while it remains voluntary for other technical staff. EMCBC's TQP has provided its technical staff with the ability to effectively provide assistance, guidance, direction, oversight and evaluation of contractor activities that could affect the safe operations of a defense nuclear facility, or to other employees with similar functions at a non-defense nuclear facility.

Project Management Career Development Program (PMCDP) Certification Program

On January 17, 2001, the Deputy Secretary of Energy directed DOE to establish the DOE Project Management Career Development Program (PMCDP). The DOE PMCDP encompasses a wide range of developmental, training, mentoring and rotational activities leading to FPD certification. All knowledge, skill and ability (KSA) requirements for each level of certification are competency based, and applicants must demonstrate proficiency against specific performance criteria that is linked to project complexity. The PMCDP is compliant with the Federal Acquisition Institute's (FAI) Federal Acquisition Certification for Program and Project Managers (FAC-P/PM), as mandated by the Office of Management and Budget's (OMB) Office of Federal Procurement Policy (OFPP). The FAI approved the PMCDP in August 2008. The EMCBC and Small Sites employ 5 Federal Project Directors (FPDs)/Deputy FPDs. Of these, 100% are fully certified to the level required under the DOE PMCDP. The EMCBC also has 8 employees certified under this program that are not currently assigned as an FPD at a site. The EMCCBC has 6 Operations Activity Managers (OAMs) currently assigned to EM Small Sites who are responsible for managing EM work classified as Operations Activities (OA).

Acquisition Career Management Program (ACMP)

DOE certifies its contracting staff against the requirements set forth under the DOE Acquisition Career Management Program (ACMP). The ACMP is a career program established to provide a formal, structured approach to career development for DOE's acquisition workforce. The ACMP is designed to increase the efficiency of the acquisition workforce through competency-based training. Contracting professionals are certified under the Federal Acquisition Certification – Contracting (FAC-C) program at Levels I, II, and III. Certification under the FAC-C is mandatory at DOE. The ACMP Handbook, issued January 2009, spells out the required guidance for this program. Certification is based on education, experience, and training. The ACMP Handbook, issued April 2013, spells out the required guidance for this program. Certification is based on education, experience, and training. There are currently 36 EMCBC employees in the GS-1102 series. Thirty-two employees are certified at Level III, 3 employees are certified at Level II, and 1 employee is certified at Level I. All 1102s are certified

Personal Property Management Career Development Program (PPMCD)

Consistent with the intent of Policy Letter 97-01, the Department of Energy (DOE) has identified personal property management as a critical acquisition-related career field. Accordingly, the DOE/National Nuclear Security Administration (NNSA) Personal Property Management Career Development (PPMCD) Program is a mandatory certification program.

The PPMCD Program has established three levels of training, each with a core curriculum of personal property management courses. The program will provide the opportunity for employees to apply course knowledge and skills to analyze and resolve on-the-job issues. Completion of core courses in a logical sequence is necessary so that the appropriate level of knowledge is available for performance at a particular level and that later courses can build on the knowledge gained from earlier courses.

Currently, there are 4 EMCBC employees in the 1103 series, comprised of the Team Leader/Organizational Property Management Officer along with three Personal Property Administrators. All four employees maintain the Program's Level III certification.

Recruitment and Retention

Over the next several years, the EMCBC and Small Sites leadership will continue to

implement recruitment strategies that ensure a sufficient number of skilled and diverse employees are available to transition into critical skill positions as they become vacant. When recruiting externally, strategies will target Interagency Career Transition Assistance Program (ICTAP) employees in the local commuting area, if applicable, and surplus/displaced employees from EM sites. Consideration will also be given to employees of other DOE organizations and/or other Federal agencies and employees hired under special hiring authorities. When no candidates from ICTAP or closure sites have been identified, management is committed to utilizing recruitment strategies focusing on veterans, and hiring at the entry level, where appropriate, in all occupations. This strategy establishes a skills pipeline and targets recruitment of underrepresented groups through educational and outreach programs (i.e. Historically Black Colleges and Universities, Hispanic Serving Institutions, and community-based organizations) to meet projected needs.

Traditional recruitment methods, including internal recruitment under local Merit Promotion procedures, will continue to be utilized and the Merit System Principles will be applied. OPM and DOE flexibilities will be used as appropriate to remain competitive in recruiting and retaining technical skill sets.

In view of critical gaps in such mission critical occupations such as Contract Specialists, EMCBC has implement hiring under newly obtained Direct Hiring Authority to recruit new employees in these occupational series in the spring of 2014.

In the wake of ongoing retirements, budget and sequestration limits on EMCBC's ability to maintain skilled employees, management has taken a proactive stance in closely monitoring employee satisfaction levels through the annual Employee Viewpoint Survey (EVS). In 2013 each department conducted meetings to gather ideas that could be used to assure enhanced levels of satisfaction for the workforce. Cross-departmental groups were formed to present ideas to management which would improve the satisfaction of the workforce. The recommendations have been adopted and will be implemented and monitored throughout the year to determine success. This effort continues in FY14 and it is expected that this effort should solidify employee retention.

SUMMARY AS OF MAY 2, 2014 EMCBC and Small Sites	
FTE Ceiling	200
Headcount	175
Desired Headcount	219*
Supervisor to Employee Ratio	01:08.1
Average Grade of Workforce	GS - 13
Average Years of Service	18.87 Years
% of Workforce Eligible to Retire	20%
Mission Critical Occupations (MCO)	Human Resource Specialist GS-201, General Engineer GS-801, Physical Scientist GS-1301, Contract Specialist GS-1102, Information Technology Specialist GS-2210, and Cost Estimators GS-301/501
Mission Status	Increasing
Conditions Relating to Mission Status	In recent years EMCBC's technical support areas have been unable to meet the demand for increased assistance to sites in several areas. This shortfall became more evident in attempting to support the Carlsbad Field Office's needs during recent events.
Strategies to Close Competency GAPS	Use of Direct Hire Authority
Recent Graduates Request	1) GS-801/1301-9, Facility Representative 2) GS-1301-9, Industrial Hygiene, Health Physics, Environmental Compliance 3) GS-301-9, Cost Estimating 4) GS-301-9, Cost Estimating 5) GS-510-7/9, Systems Accountant
Plans for New Hires and Graduates	EMCBC and Small Sites will begin hiring Cost Estimators and Contract Specialists immediately in FY14. Recent Graduates positions will be advertised at the end of summer 2014 and expect to be in place by early FY15. Contract Specialists and Recent Graduates will both enter on duty and begin training under programs at EMHQ.
Challenges	Availability of qualified candidates; Unforseen employees loses; and unanticipated surges in service demands
Strategies to Address Challenges	Close monitoring of internal and external environments and targeted recruitment.

** The desired headcount reflects the filling of existing vacancies and anticipated new hires*

THE SUCCESSION PLAN 2014 – 2019

INTRODUCTION

Contained in this section are the results of the annual update to the U.S. Department of Energy (DOE), Environmental Management Consolidated Business Center (EMCBC) and Small Sites 2014 – 2019 Succession Plan. The objective of succession planning is to ensure that EMCBC and the Small Sites continue to operate effectively when individuals occupying critical positions depart. The primary focus is on assuring that appropriate bench strength is in place for replacing critical positions. For purposes of this assessment a critical position is defined as requiring an expert level incumbent.

The information in this plan was obtained from EMCBC and the Small Sites senior management, who were asked to validate information using the chart in the back of this plan labeled as ***Attachment E - Succession Planning Worksheet Sample***. Information for each position was provided using the following categories:

- Potential to leave current position
- Position criticality
- Strategy for addressing skill gaps
- Succession priority
- Backup capability

In addition, each position is linked to specific products/services developed by the DOE Office of Environmental Management. This identifies the skill sets required for each position to perform assigned work.

EMCBC and the Small Sites participated in the EM Competency Management Initiative. Mission Critical Occupations (MCO) identified along with the competencies required for use in determining current and future gaps. EMCBC will continue using the information gained in the initiative to improve its efforts at Workforce and Succession planning efforts.

(A listing of the values associated with each of the succession planning categories is provided in ***Attachment F - Succession Planning Worksheets Guidance/Key.)***

(*The standardized product/service list is provided in* ***Attachment A – Products and Services.)***

EMCBC continues a pro-active approach to filling future competency gaps by continued communications with department heads to discuss in detail various strategies available in dealing with specific succession issues. An emphasis was placed on identifying and preparing future leaders, examining the possibility of restructuring positions and departments, backfilling open vacancies with career-ladder positions, recruiting targeted towards specific mission critical occupations, and the use of rotations and detail assignments. Each department now has a Succession Implementation Plan to be used as a tool in planning to meet its own unique needs for the future.

SUMMARY OF SUCCESSION PLAN RESULTS

POTENTIAL TO LEAVE CURRENT POSITION

Question: What is the likelihood that an incumbent of a position will leave due to retirement, promotion, another job, long term detail, rotation assignments, etc.?

At the end of FY13 there were 36 employees eligible to retire. A total of 37 employees will be eligible for retirement by the end of FY14. This includes both EMCBC and the Small Sites. The potential for these employees to retire by the end of FY14 is expressed as follows:

- In FY14, 21% of employees are eligible to retire and 12, or 7%, are expected to leave.
- Of the 18 employees who will become newly eligible to retire during FY14, at least five are expected to leave.

POSITION CRITICALITY

Question: What is the importance for a new incumbent to "hit the ground running" vs. being fully functional in 6-9 months? Could the position be filled with an entry/mid-level incumbent, or is an expert level incumbent required?

A position is considered critical if at least one of the following conditions exists:

- The position is a key contributor in achieving the organization's mission
- The position performs a critical task that would stop or hinder vital functions from being performed if it were left vacant (never filled)
- The position requires specialized or unique expertise (skill sets) that is difficult to replace
- The position is the only one of its kind in a particular location and it would be difficult for a similar position in another location to carry out its functions

Positions in the same occupational group are in danger of "knowledge drain" due to retirements or high turnover for a variety of reasons.

EMCBC and the Small Sites combined, identified approximately 47% of their positions as being critical (expert level), 38% as important (journey level), and only 16% of the positions as normal (entry/midlevel).

This is representative of the current grade structure of the workforce; however, upon review of the 83 positions identified by EMCBC and Small Sites as critical, 8 (5% of the total critical positions) are shown as potentially being vacated within one year. An additional 21 critical positions (25%) are shown as potentially being vacated within three years. A detailed listing of the 81 critical positions is provided on page 39 in the chart titled *"Critical Positions with Potential to Leave in 1 – 3 Years".*

STRATEGY FOR ADDRESSING SKILL GAPS

Definition: What is the most likely strategy for ensuring this position is filled with a qualified and skilled incumbent?

Position Management, recruitment and development are the most common strategies identified for addressing skill gaps.

Position Management and Realigning Resources: As projects approach the end of their life cycle, management will need to collaborate with HR Classifiers, assess the position requirements and determine where positions can be utilized within the organization to fill gaps. This will help the areas that show a high gap percentage. HR has developed an analysis tool to assist management in determining the best course of action for a vacant position. EMCBC senior management established a *Position Management Council* to ensure authorized positions are aligned to the mission, used efficiently, effectively, and economically.

Recruitment: When using recruitment to address skill gaps, EMCBC and Small Sites managers will collaborate with the HR Staffing Specialist to determine the best recruitment strategy. A recommended strategy would be the creation of a Comprehensive Recruitment Plan with numerous resources to assist in the recruitment process that can be used to reach out and attract diverse candidates. This plan would be updated yearly to ensure it remains current with hiring initiatives, organizational needs and recruitment strategies.

Development: EMCBC and the Small Sites have a proactive development strategy as a part of HR's proactive succession monitoring effort. This effort includes a review of positions identified as Important - Journey Level and a recommendation of which positions are natural progressions into the Critical - Expert Level positions; Individual Development Plans (IDPs) which involve a variety of learning options (i.e., formal development programs, subject matter classes, on-line training, etc.) for employees to grow into the expert level positions as they become vacated. The same strategy would apply to those in Normal - Entry/Mid-Level positions and their progression to compete and apply for Important - Journey Level positions.

SUCCESSION PRIORITY

Definition: If all the positions in your organization were vacant, how would you set the priority for closing the gaps?

Management identified 47% of their positions as having critical succession priority; 38% as important; and 28% as normal (see page 40). Last year's succession plan was based on 200 encumbered positions; FY14's plan is based on 176 encumbered positions, showing a 12% decrease in positions.

BACKUP CAPABILITY

Definition: If the position becomes vacant, to what degree do you have existing backup capability to ensure the essential work continues to get done?

On page 48, managers identified 79% of their positions as having partial backup capability, meaning there is short-term coverage available. Only 5% of the positions have full backup capability, while 28 positions (16%) were identified as having no backup capability.

A set of charts summarizing the combined EMCBC and Small Sites succession planning information begins on page 35. Page 39 contains a summary by product/service highlighting the specific areas where there are potential gaps in the next 1-3 years and identifies those positions that are Critical.

NEXT STEPS

The FY13-FY18 Succession Plan provided critical information and was used to make key staffing decisions during FY13 - FY14 involving:

- Restructuring opportunities for positions vacated through retirement or other means;
- Placing some vacant positions in a "hold" status until a future date when total organization FTE's warrant filling;
- Implementation of a proactive department-by-department succession planning effort;
- Use of the Upward Mobility Program to backfill positions;
- Backfilling of vacant positions with Career-Ladder positions;
- Expanding the existing Mentoring Program to include Flash Mentoring to increase the opportunity for knowledge-transfer; and
- Continuation of a "competed" Leadership Development" Program to provide a pool of future leaders.
- Using "Direct Hire Authority" to fill gaps in mission critical positions such as Contract Specialist and Cost Estimators.

It is recommended that the information in this plan continue to be used for these and other staffing decisions during the remainder of FY14 and into the future. EMCBC and Small Sites are encouraged to partner with HR to review and better define their workforce needs and develop plans for meeting current and future position management and staffing needs.

New Full Time Equivalent ceilings and budget restrictions have resulted in a renewed emphasis on ensuring existing qualified staff within Environmental Management (EM) is considered for positions before going outside of EM to fill positions and exemption requests are required. Ongoing evaluation and adjustments are vital to effective succession planning. Although the Succession Plan covers a five-year period, progress will be monitored, reviewed, and updated annually.

While critical staffing needs will occur, the majority of the EMCBC management has determined to maximize opportunities for training and developing existing human resources, utilizing contracting services, and backfilling with existing EM employees through Merit Promotion over the next fiscal year.

SUCCESSION PLAN RESULTS 2014 - 2019

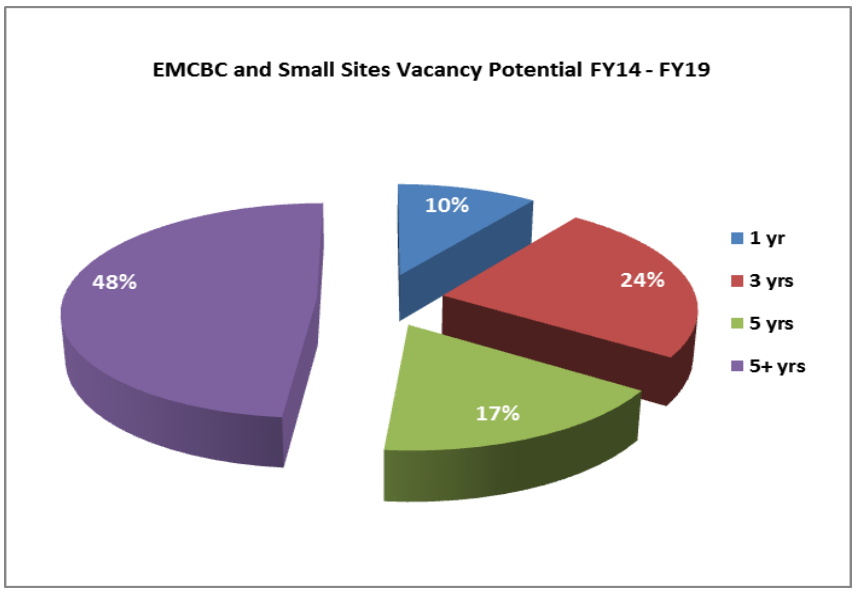
POTENTIAL TO LEAVE CURRENT POSITION

Results by Organization

Total Employees = 175 *(as of 5/2/2014)*

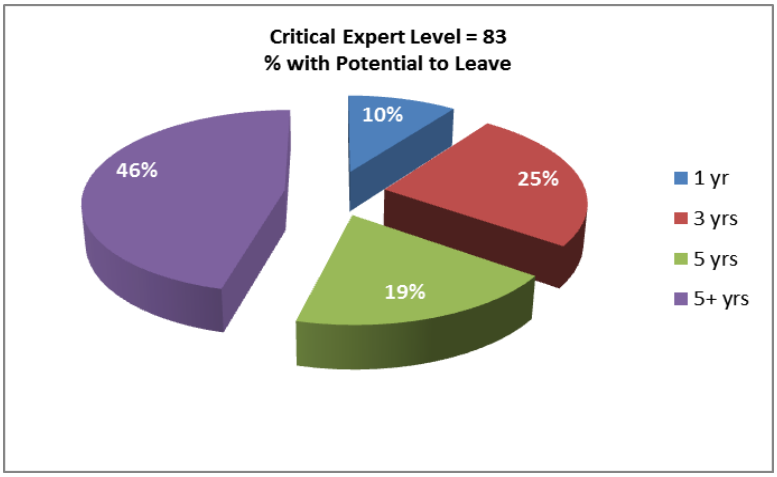
Vacancy Potential						
Organization	Total Population	Expected to Leave within 1 Year	Expected to Leave in >1 Year to 3	Expected to Leave in >3 to 5 Years	Expected to Leave in >5 Years	Current Vacancy
OD	4	0	1	1	3	1
OCRD	4	1	0	1	2	0
IRM	3	0	1	0	2	1
OFM	24	1	10	3	9	3
OHR	12	0	2	3	7	5
OCC	18	0	4	3	11	1
OC	35	6	5	2	21	12
OTSAM	35	5	11	7	11	3
OCEPMS	13	0	4	5	4	10
SS	27	5	5	5	14	7
Totals	175	18	42	30	84	43

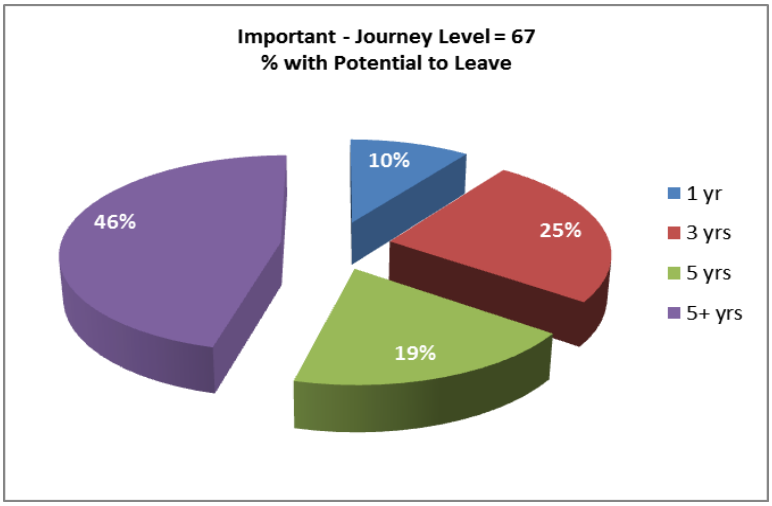
LEGEND
OD - Office of the Director
OCRD - Office of Civil Rights and Diversity
IRM - Information Management
OFM - Office of Financial Management
OHR - Office of Human Resources
OCC - Office of Chief Counsel
OC - Office of Contracts
OTSAM - Office of Technical Support and Asset Management
OCEPMS - Office of Cost Estimating and Project Management Support
SS - Small Sites

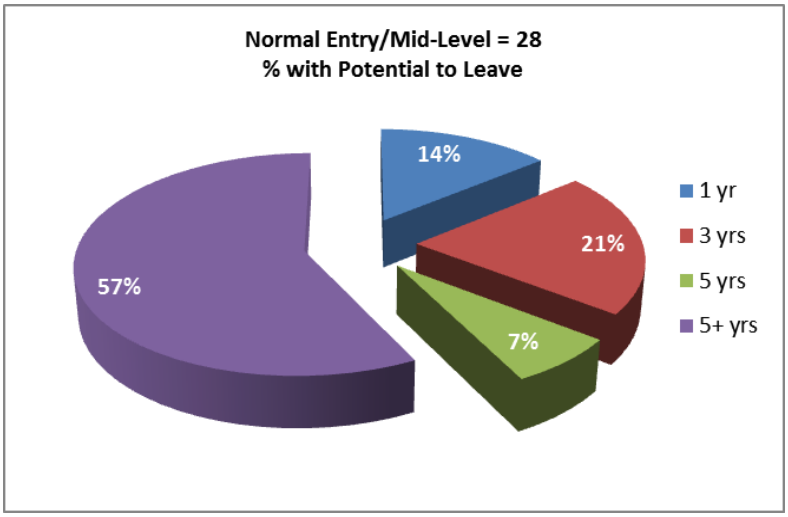


POSITION CRITICALITY/ POTENTIAL TO LEAVE

Position Criticality					
Organization	Total Population	Critical - Expert Level	Important - Journey Level	Normal - Entry/Mid-Level	Current Vacancy
OD	4	2	2	0	1
OCRD	4	2	1	1	0
IRM	3	2	1	0	1
OFM	24	8	7	8	3
OHR	12	8	3	1	5
OCC	18	7	9	2	1
OC	35	19	9	8	12
OTSAM	35	16	15	5	3
OCEPMS	13	7	5	1	10
SS	27	12	15	2	7
Totals	175	83	67	28	43


Critical Expert Level = 83
% with Potential to Leave
10%
25%
19%
46%
1 yr
3 yrs
5 yrs
5+ yrs


Important - Journey Level = 67
% with Potential to Leave
10%
25%
19%
46%
1 yr
3 yrs
5 yrs
5+ yrs

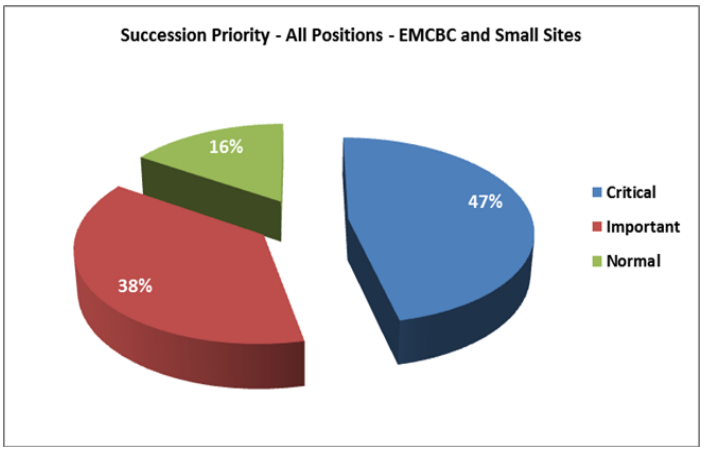

Normal Entry/Mid-Level = 28
% with Potential to Leave
14%
21%
7%
57%
1 yr
3 yrs
5 yrs
5+ yrs

Critical Positions with Potential to Leave in 1 - 3 Years
1.14.02 Information Security (classified)
1.12 Project Control
1.10.02 Federal Human Resources
1.11 Legal Support
1.11.02 Contract Law
1.11.01 General Legal Support
1.02.01 Assessment
1.02 Auditing
1.09.01 General Financial Mgmt
1.09.05 Accounting
1.02 Auditing
1.09.03 Budget Formulation
1.08.19 Operations Safety
1.15.06 Technical Contract Oversight
1.18.01 General Facility Engineering
1.06.07 Property Management
1.08.24 Facility Oversight
1.12.06 Project Integration
1.17.03 Program Oversight
1.08.19 Operations Safety
1.03.01 Strategic Planning
1.06.01 Contract Administration
1.06.11 Acquisition Policy
1.13.01 Contract Execution Oversight (COR)
1.12.05 Planning/Scheduling
1.12.02 Baseline Management
1.13.02 Federal Project Director
1.16.01 General Construction Mgmt
1.08.17 Nuclear Safety
1.08.13 Industrial Hygiene
1.03.03 Management Analysis

*(See **Attachment A - Products and Services** on page 50 for complete listing)*

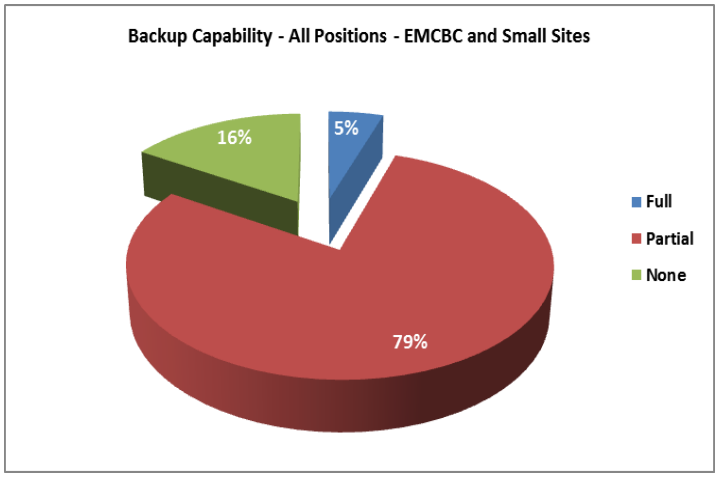
SUCCESSION PRIORITY OF ALL POSITIONS

Succession Priority		
Critical	83	47%
Important	67	38%
Normal	28	16%



BACKUP CAPABILITY OF ALL POSITIONS

Backup Capability		
Full	9	5%
Partial	139	79%
None	28	16%

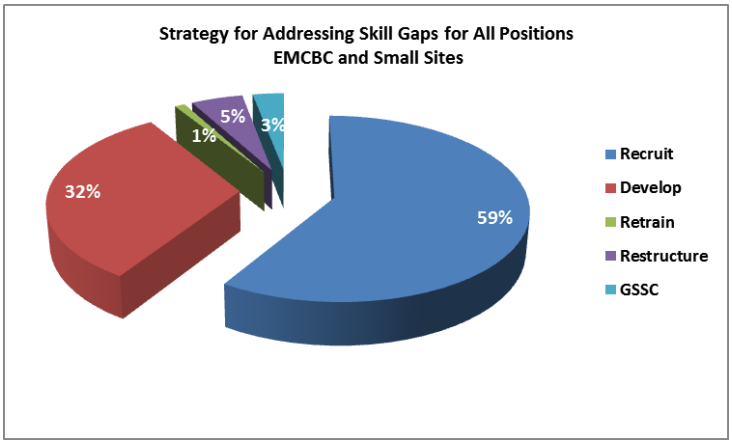


Critical Positions with No Backup
1.10.01 EEO/Diversity
1.02.02 Independent Oversight
1.15.05 Quality Assurance
1.18.01 General Facility Engineering
1.06.07 Property Management
1.07.06 NEPA
1.10 Human Resources
1.06.11 Acquisition Policy
1.17.03 Program Oversight
1.02.01 Assessment
1.13.02 Federal Project Director

STRATEGY FOR ADDRESSING SKILL GAPS

Strategy for Addressing Skill Gap for All Positions										
	OD	OCRD	IRM	OFM	OHR	OCC	OC	OTSAM	OCEPMS	SS
Recruit	0	3	3	11	7	12	15	30	9	14
Develop	4	1	0	12	2	6	19	3	4	6
Retrain	0	0	0	0	0	0	1	0	0	1
Restructure	0	0	0	0	3	0	0	3	0	3
GSSC	0	0	0	0	0	0	0	1	0	5

**Number includes only positions listed on survey by department head*



ATTACHMENTS

Attachment A - Products and Services (aka competencies)

EM Universial Product and Services List									
1.01	**Administrative Services**	**1.07**	**Env Oversight/Reg Compliance**	**1.10**	**Human Resources**	**1.15**	**Technical Support**		
1.01.01	Administrative Support	1.07.01	CERCLA	1.10.01	EEO/Diversity	1.15.01	General Technical Support		
1.01.02	Clerical Support	1.07.02	Clean Air	1.10.02	Federal Human Resources	1.15.02	Engineering Disciplines		
1.01.03	Business Services	1.07.03	Clean Water	1.10.03	Training	1.15.03	Physical Sciences		
1.02	**Auditing**	1.07.04	Env Compliance/Protection	1.10.04	Employee Concerns Program	1.15.04	Price Anderson Amendment Act		
1.02.01	Assessment	1.07.05	Env Restoration	**1.11**	**Legal Support**	1.15.05	Quality Assurance		
1.02.02	Independenct Oversight	1.07.06	NEPA	1.11.01	General Legal Support	1.15.06	Technical Contract Oversight		
1.02.03	Investigation	1.07.07	RCRA	1.11.02	Contract Law	1.15.07	Technical Program Management		
1.03	**Business Analysis**	1.07.08	TSCA	1.11.03	Employment Law	1.15.08	Transportation		
1.03.01	Strategic Planning	1.07.09	Environmental Policy	1.11.04	Environmental Law	1.15.09	Vitrification		
1.03.02	Program Analysis	**1.08**	**Safety**	1.11.05	Litigation	1.15.10	Waste Mgmt & Disposition		
1.03.03	Management Analysis	1.08.01	General Safety Management	1.11.06	Paralegal Services	1.15.11	Materials Mgmt & Disposition		
1.03.04	Records Management	1.08.02	Aviation Safety	**1.12**	**Project Control**	1.15.12	Technical Project Support		
1.03.05	Requirements Management	1.08.03	Chemical Processing	1.12.01	General Project Control	1.15.13	Energy Management		
1.03.06	General Program Management	1.08.04	Civil/Structural	1.12.02	Baseline Management	1.15.14	Foreign Affairs/Intrntl. Support		
1.04	**Information Technology**	1.08.05	Criticality Safety	1.12.03	Configuration Management	**1.16**	**Construction Management**		
1.04.01	General Information Technology	1.08.06	Deactivation/Decommissioning	1.12.04	Cost Estimating (pre-award)	1.16.01	General Construction Mgmt		
1.04.02	Data Administration	1.08.07	Electrical Safety/Systems	1.12.05	Planning/Scheduling	1.16.02	Acceptance Inspection		
1.04.03	Systems/Software Administration	1.08.08	Electronic/Software QA	1.12.06	Project Integration	1.16.03	Conduct of Operations		
1.04.04	Telecommunications	1.08.09	Emergency Management	1.12.07	Risk Management	1.16.04	Facility Engineering		
1.04.05	Web Site Management	1.08.10	Facility Maintenance Mgmt	**1.13**	**Project Management**	1.16.05	Project Engineering		
1.04.06	Help Desk Support	1.08.11	Fire Protection	1.13.01	Contract Execution Oversight (COR)	1.16.06	Start-Up		
1.05	**Public Affairs**	1.08.12	Health Physics	1.13.02	Federal Project Director	**1.17**	**Management/Supervision**		
1.05.01	General Public Affairs	1.08.13	Industrial Hygiene	1.13.03	Deputy Federal Project Director	1.17.01	Leadership/Supervision		
1.05.02	Communication Strategy	1.08.14	Instrumentation & Control	**1.14**	**Security**	1.17.02	Bldg Coalitions/Communications		
1.05.03	External Erlations	1.08.15	Mechanical	1.14.01	CyberSecurity (non-classified)	1.17.03	Program Oversight		
1.05.04	FOIA Compliance	1.08.16	Nuclear Explosive Safety	1.14.02	Information Security (classified)	1.17.04	Management		
1.05.05	Graphics Production	1.08.18	Occupational Safety	1.14.03	Nuclear Materials Control	**1.18**	**Facility Engineering**		
1.05.06	Written Communication	1.08.19	Operations Saftey	1.14.04	Personnel Security	1.18.01	General Facility Engineering		
1.06	**Contracting**	1.08.20	Radiation Protection	1.14.05	Physical Security	1.18.02	Property Transfer		
1.06.01	Contract Administration	1.08.21	Sr. Technical Safety Management			1.18.03	Real Property Asset Mgmt		
1.06.02	Contracting Assistance	1.08.22	Technical Training			1.18.04	Facility Energy Efficiency		
1.06.03	Contractor Industrial Relations	1.08.23	Ventilation			**1.19**	**Project Execution**		
1.06.04	Facility Transition	1.08.24	Facility Oversight			**1.20**	**Collateral Duties**		
1.06.05	Source Evaluation	**1.09**	**Financial Management**			1.20.01	Union Representative		
1.06.06	Performance Incentives	1.09.01	General Financial Mgmt			1.20.02	Long Term Detail		
1.06.07	Property Management	1.09.02	Budget Execution			**1.21**	**Unmapped Functions**		
1.06.08	Real Estate	1.09.03	Budget Formulation						
1.06.09	Small Business Porgram	1.09.04	Budget Analysis						
1.06.10	Financial Assistance (Grants)	1.09.05	Accounting						
1.06.11	Acquisition Policy	1.09.06	Cost/Price Analysis (post-award)						
		1.09.07	Financial Analysis						

Attachment B - DEFINITIONS

- **Attrition Rate**: Employee losses (expressed as a percentage) due to retirements, resignations, reassignments, deaths, etc., in a fiscal year. Retirements are included in the attrition rate, but are analyzed and projected separately.
- **Baseline**: The total number of staffed permanent positions identified at the beginning of a given period.
- **Competencies:** Knowledge, skills, and abilities (i.e., underlying characteristics) associated with EM positions or functions. These are observable and measurable expertise needed to perform a task.
- **FTE (Full Time Equivalent**): A FTE (or work year) equals 2,080 work hours, which is equivalent to one year's full time work schedule (no overtime). A FTE is how many hours are worked - not how many employees do the work.
- **Mission Critical Occupations (MCO):** Occupations that most directly have an effect EM's ability to accomplish its mission (**Note:** MCO's can vary from EM office. The MCOs are defined by OPM, DOE, or by the specific needs of the project at an office/a site. These are to be addressed.). They are represented by OPM professional/technical and administrative series. Examples of MCOs include (but are not limited to) Contract Specialists (1102 series); General Engineers (0801 series); and Human Resources Specialist (0201 series).
- **Mission Critical Competencies (MCC):** Key competencies – specifically, the knowledge, skills, and abilities (i.e., underlying characteristics) associated with EM positions or functions (i.e., MCOs). These are observable and measurable expertise needed to perform a task.
- **Number of Employees/Number of staff:** "Whole people" and equates to how many employees do the work and/or are needed to do the work.
- **Talent Management Strategy**: A strategy that addresses MCO and MCC gaps by implementing and maintaining programs to attract, acquire, develop, promote, and retain quality talent consistent with Federal, DOE, and EM policies and other requirements.).
- **Workforce Planning**: A set of analyses and processes designed to evaluate the following questions:

  → Does EM have the right number of employees/staff and the right type of workforce to perform the organization's current work?
  → Does EM have the right number of employees/staff and the right type of workforce to perform the organization's work in the future?
  → If not, what recommendations can be made to address the future gaps and challenges?

- **Workforce Demand**: Refers to the workforce required to perform work. It is a measurement of how many staff of a given type is needed to perform EM's work now and in the future.
- **Workforce Supply**: Refers to the workforce available to perform work.
- **Gaps and Surpluses:** Calculated differences between workforce demand and workforce supply:

  → *Gaps* indicate a shortage of staff to perform the work. Gaps signal an organization's existing, or possible work "backlogs" (e.g., work waiting to be performed).
  → *Surpluse*s indicate an excess of staff for the amount of work available.

Attachment C - Computation of Retirement Eligibility

Retirement eligibility is determined based on factors including type of retirement system, age, length of service, and minimum retirement age, as described below.

Civil Service Retirement System (CSRS) employees are eligible to retire if they are:
a) At least 55 years of age and have at least 30 years of service; or
b) At least 60 years of age and have at least 20 years of service; or
c) At least 65 years of age and have at least 5 years of service.

Federal Employees' Retirement System (FERS) employees are eligible to retire if they are:
a) Of minimum retirement age (MRA) and have at least 30 years of service; or
b) At least 60 years of age and have at least 20 years of service; or
c) At least 62 years of age and have at least 5 years of service; or
d) Of minimum retirement age (MRA) and have at least 10 years of service (with a reduced annuity).

Attachment D - Succession Planning Worksheets Guidance/Key

Key Competency and/or Proficiency Levels for Position (List 3 – 5)

Enter the certification level required for the job and/or 3 – 5 skill requirements from the attached EM Universal Product and Services List.

Vacancy Potential

What is the likely timeframe within which the position will be vacated due to retirement, promotion, another job, long term detail, rotational assignment, etc.?

A = 1 year
B = 3 years
C= 5 years
D = > 5 years

Criticality

What is the importance for a new incumbent to "hit the ground running" vs. being fully functional in 6 – 9 months? Could the position be filled with an entry/mid, journey, or expert level incumbent?

1 = Critical – Expert Level
2 = Important – Journey Level
3 = Normal – Entry/Mid-Level

Strategy for Addressing the Criticality Gap

What is the most likely strategy for ensuring this position is filled with a qualified/skilled incumbent?

1 = Recruitment
2 = Development
3 = Retrain
4 = Restructure
5 = General Services Support Contract

Succession Planning Priority

If all the positions in your organization were vacant, how would you set the priority for closing the gaps?

1 = Critical
2 = Important
3 = Normal

Backup Capability

If the position becomes vacant, to what degree do you have existing backup capability to ensure the essential work continues to get done?

1 = Full
2 = Partial
3 = None

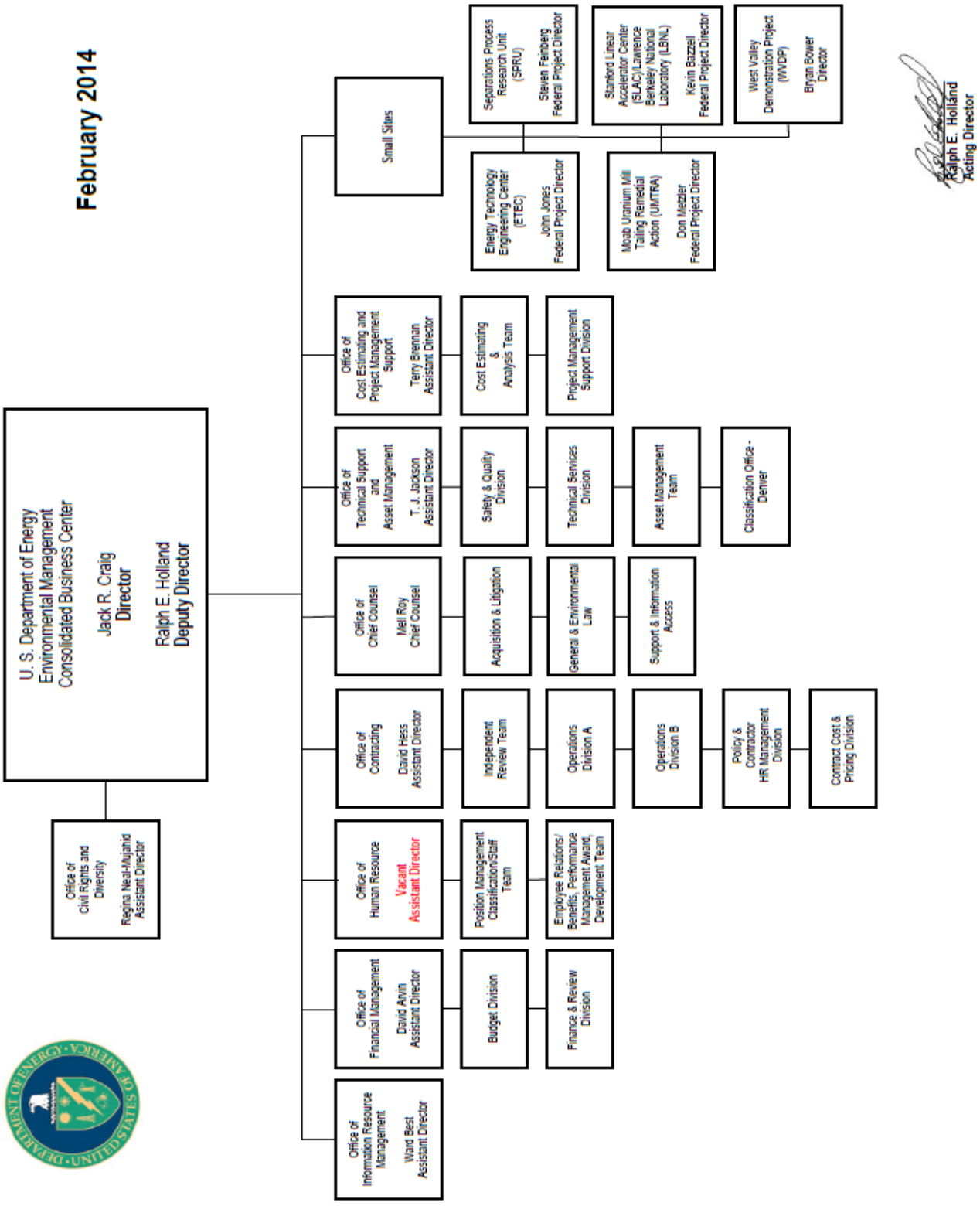
Attachment E - Succession Planning Worksheet Sample

The following worksheet was used by managers/supervisors to identify and forecast possible departures, criticality of the positions, and intended strategy for replacing the incumbent.

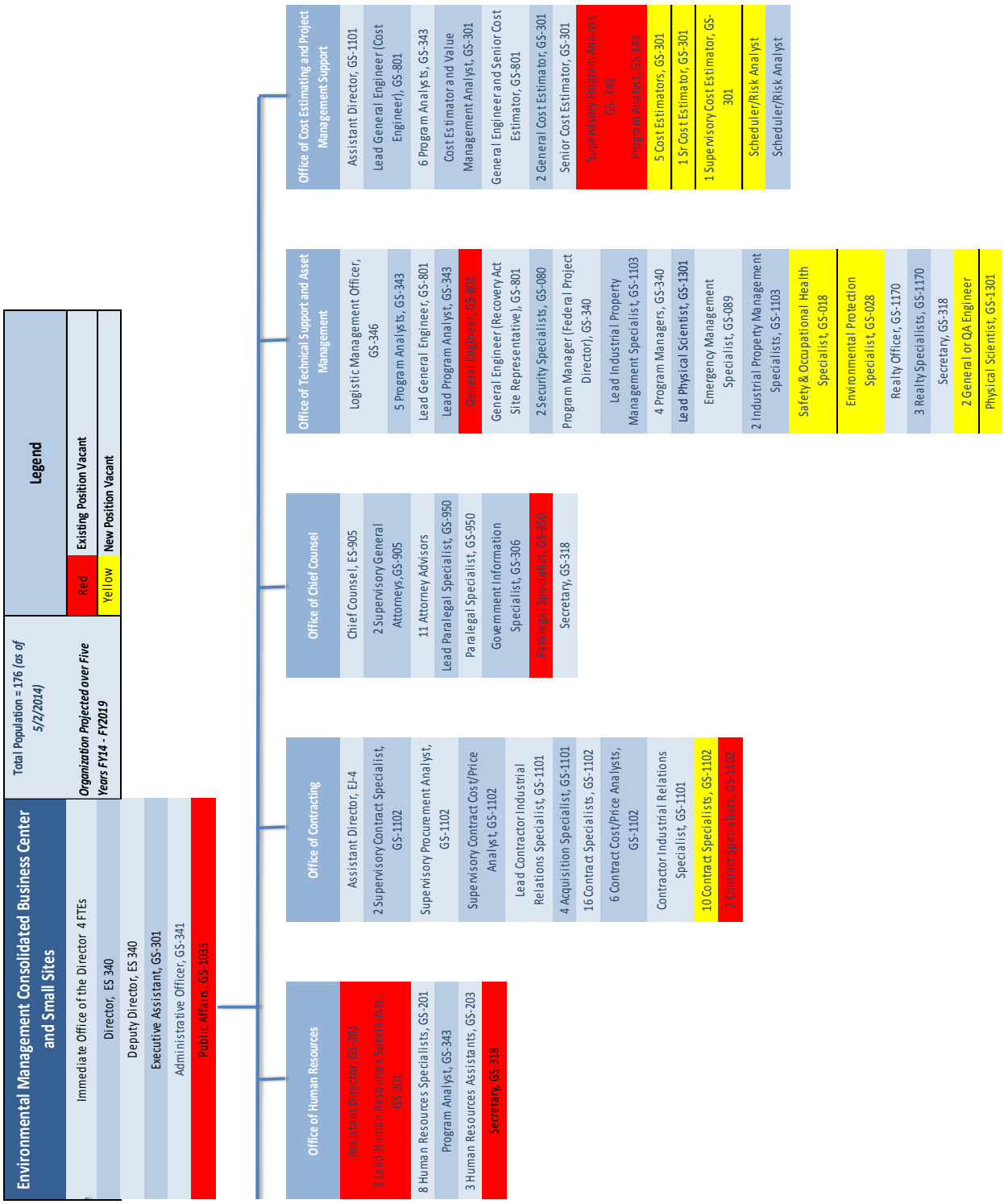
Office: Date:

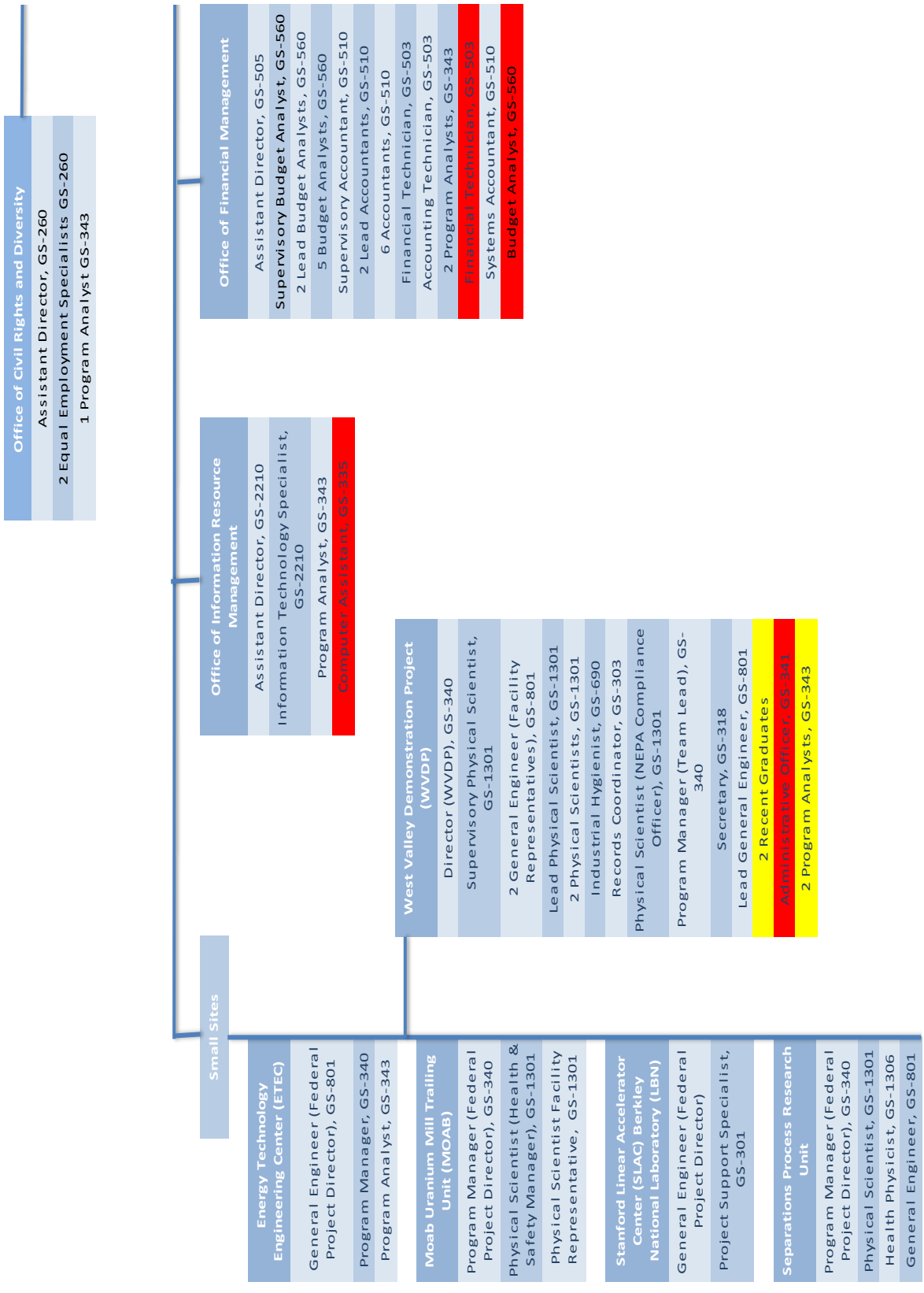
POSITION TITLE	KEY COMPETENCY AND/OR PROFICIENCY LEVELS FOR POSITION (LIST 3 TO 5)	1. VACANCY POTENTIAL	2. CRITICALITY	3. STRATEGY FOR ADDRESSING CRITICALITY/ GAP	4. SUCCESSION PLANNING PRIORITY	BACKUP CAPABILITY	INCUMBENT

Attachment F – EMCBC Organization Chart



ATTACHMENT G - EMCBC and Small Sites Chart Projected FY14 – FY19




Office of Civil Rights and Diversity
Assistant Director, GS-260
2 Equal Employment Specialists GS-260
1 Program Analyst GS-343
Small Sites
Office of Financial Management
Assistant Director, GS-505
Supervisory Budget Analyst, GS-560
2 Lead Budget Analysts, GS-560
5 Budget Analysts, GS-560
Supervisory Accountant, GS-510
2 Lead Accountants, GS-510
6 Accountants, GS-510
Financial Technician, GS-503
Accounting Technician, GS-503
2 Program Analysts, GS-343
Financial Technician, GS-503
Systems Accountant, GS-510
Budget Analyst, GS-560
Office of Information Resource Management
Assistant Director, GS-2210
Information Technology Specialist, GS-2210
Program Analyst, GS-343
Computer Assistant, GS-335
West Valley Demonstration Project (WVDP)
Director (WVDP), GS-340
Supervisory Physical Scientist, GS-1301
2 General Engineer (Facility Representatives), GS-801
Lead Physical Scientist, GS-1301
2 Physical Scientists, GS-1301
Industrial Hygienist, GS-690
Records Coordinator, GS-303
Physical Scientist (NEPA Compliance Officer), GS-1301
Program Manager (Team Lead), GS-340
Secretary, GS-318
Lead General Engineer, GS-801
2 Recent Graduates
Administrative Officer, GS-341
2 Program Analysts, GS-343
Energy Technology Engineering Center (ETEC)
General Engineer (Federal Project Director), GS-801
Program Manager, GS-340
Program Analyst, GS-343
Moab Uranium Mill Trailing Unit (MOAB)
Program Manager (Federal Project Director), GS-340
Physical Scientist (Health & Safety Manager), GS-1301
Physical Scientist Facility Representative, GS-1301
Stanford Linear Accelerator Center (SLAC) Berkley National Laboratory (LBN)
General Engineer (Federal Project Director)
Project Support Specialist, GS-301
Separations Process Research Unit
Program Manager (Federal Project Director), GS-340
Physical Scientist, GS-1301
Health Physicist, GS-1306
General Engineer, GS-801